

# Study of the International Organization for Migration and its Humanitarian Assistance

**Anders Olin  
Lars Florin  
Björn Bengtsson**



# Study of the International Organization for Migration and its Humanitarian Assistance

**Anders Olin  
Lars Florin  
Björn Bengtsson**

**Sida Evaluation 2008:40**

**Sida**

This report is part of *Sida Evaluations*, a series comprising evaluations of Swedish development assistance. Sida's other series concerned with evaluations, *Sida Studies in Evaluation*, concerns methodologically oriented studies commissioned by Sida. Both series are administered by the Department for Evaluation, an independent department reporting to Sida's Director General.

This publication can be downloaded/ordered from:  
<http://www.sida.se/publications>

Authors: Anders Olin, Lars Florin, Björn Bengtsson.

The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

Sida Evaluation 2008:40  
Commissioned by Sida, Sida

Copyright: Sida and the authors

Registration No.: 2008-001284  
Date of Final Report: November 2008  
Printed by Edita Communication, 2008  
Art. no. Sida47042en  
ISBN 978-91-586-8122-4  
ISSN 1401—0402

SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY  
Address: SE-105 25 Stockholm, Sweden. Office: Valhallavägen 199, Stockholm  
Telephone: +46 (0)8-698 50 00. Telefax: +46 (0)8-20 88 64  
E-mail: [sida@sida.se](mailto:sida@sida.se). Homepage: <http://www.sida.se>

# Table of Contents

|                                                                                                                                       |           |
|---------------------------------------------------------------------------------------------------------------------------------------|-----------|
| <b>Executive Summary .....</b>                                                                                                        | <b>3</b>  |
| <b>Abbreviations .....</b>                                                                                                            | <b>6</b>  |
| <b>Preface .....</b>                                                                                                                  | <b>7</b>  |
| <b>1 About IOM and its Humanitarian Activities .....</b>                                                                              | <b>9</b>  |
| <b>2 The Nature of IOM .....</b>                                                                                                      | <b>16</b> |
| 2.1 Members, Mandate and Strategy .....                                                                                               | 16        |
| 2.2 Management of Direction and Operations .....                                                                                      | 17        |
| 2.3 Strong Administrative Systems .....                                                                                               | 19        |
| 2.4 Culture, Strengths and Criticism .....                                                                                            | 20        |
| <b>3 Humanitarian Reform, Coordination and Principles for Humanitarian Assistance.....</b>                                            | <b>25</b> |
| 3.1 IASC and the Humanitarian Reform .....                                                                                            | 25        |
| 3.2 IOM's Policy and Strategy.....                                                                                                    | 30        |
| 3.3 Policy, Guidelines and Tools Endorse and Supported by IOM.....                                                                    | 31        |
| 3.4 Emergency and Post Crisis Activities in a Development Process .....                                                               | 33        |
| <b>4 IOM's Capabilities and Comparative Advantages for Humanitarian Assistance.....</b>                                               | <b>35</b> |
| 4.1 The Emergency and Post Crisis Division and the Migration Health Department .....                                                  | 35        |
| 4.2 Training for Emergencies and Post Crisis.....                                                                                     | 37        |
| 4.3 Expert Roster, Funding and Materials.....                                                                                         | 38        |
| 4.4 IOM's View of its Comparative Advantages in Emergencies and Post Crisis Situations .....                                          | 39        |
| <b>5 Efficiency and Effectiveness in IOM Humanitarian Assistance.....</b>                                                             | <b>43</b> |
| <b>6 Conclusions and Recommendations .....</b>                                                                                        | <b>45</b> |
| 6.1 Rational for Selecting IOM for Provision of Humanitarian Assistance .....                                                         | 45        |
| 6.2 Forms and Modalities for Cooperation with IOM.....                                                                                | 48        |
| 6.3 Geographical Considerations .....                                                                                                 | 48        |
| 6.4 Criteria for Assessment of IOM's Projects .....                                                                                   | 49        |
| <b>Annex I Interviews .....</b>                                                                                                       | <b>51</b> |
| <b>Annex II Statistics .....</b>                                                                                                      | <b>53</b> |
| <b>Annex III Core Structure of IOM (385),<br/>Financed by the Administrative Budget (165) and<br/>Discretionary Income (220).....</b> | <b>56</b> |
| <b>Annex IV Responses to Areas for Deeper Analysis Formulated in the<br/>Terms of Reference .....</b>                                 | <b>57</b> |
| <b>Annex V Answers to the Questions in the Terms of References.....</b>                                                               | <b>64</b> |
| <b>Annex VI Terms of Reference .....</b>                                                                                              | <b>88</b> |



2007 Pakistan – Floods CCCM Cluster Lead – Needs assessment visit. © IOM 2007

# Executive Summary

This study has been commissioned by Swedish International Development Agency (Sida). The main rationale for the study was to analyse how IOM has developed during the last 8 years in the field of humanitarian assistance, if the IOM projects within this field are complying with Swedish and international policies and norms in terms of humanitarian assistance and based on the analysis, advise Sida on how to relate to IOM in this perspective and suggest criteria to apply when assessing project proposals from IOM.

IOM has grown considerably during the last decade, in terms of member countries, locations, projects, expenditure and staff. Growth has been justified by that migration is growing and becoming more complex. Also the mandate has widened. IOM today therefore offers a wide spectrum of services in the entire chain of migration from preventing migration, to assimilation/integration of migrants into their new or old environment and it has since long left its previous image of being a more reactive transport organisation.

The study shows that IOM is substantially involved in humanitarian activities. Based on UN General Assembly resolution 46/182 (1991) and its membership in IASC and the active support and participation in the Humanitarian Reform, IOM is an established partner in the coordinated system for humanitarian emergency assistance. IOM contributes to, endorses and follows the general accepted policy, principles and standards developed in the system for coordinated humanitarian assistance and make such documents easily available for its staff. However, IOM does not have an established definition of humanitarian assistance and does not have an updated strategy, policy or manual for emergency response and/or humanitarian assistance. In the absence of such a policy it is not clear when IOM in activities outside the coordinated humanitarian emergency assistance commits itself to the same standards and not. This unclear approach is a source for external criticism. Internally in IOM, there is a clear willingness to further develop the institutional capacity for emergency response.

For 2008, the total budget for humanitarian crisis is around 115 mUSD and if Resettlement Activities of refugees amounting to 150 mUSD is added, the total budget amounts to 265 m USD. As unplanned humanitarian interventions usually happen, the total spending for humanitarian activities is around 400 mUSD for 2008. The total value of IOM operations is around 940 m USD/year.

Among the observations made in the study can the following be mentioned:

- IOM is a rather unique organisation. It is an intergovernmental organisation, independent from but with a special relation to the UN system, controlled by its 125 member states. In the absence of an international treaty on migration, the mandate for IOM is based on the constitution. The views on migration and the ideas on how to use IOM vary considerably between member states, which explain why neither the constitution nor the recently developed strategy expressed in the 12 points provide any clear restrictions or directions for IOM's operations. The critique regarding IOM expansion and what the limits may be for its operations must thus be solved and discussed in the representative bodies of IOM; the bodies that have endorsed the IOM mandate.
- IOM is by many regarded as a highly professional organisation, generally appreciated for providing good services. The organisation has many characteristics that can be considered as strengths. The same characteristics together with the objective to grow can also explain why IOM sometimes is criticised, among other things for the broad area of IOM's operations not focusing on what is perceived by others as core areas. In the report, typical areas of criticism are listed and explanations are given from the IOM perspective.

- The Emergency and Post Crisis Division (EPC) and the Migration Health Department (MHD) are the main units professionally responsible for IOM's activities in emergencies and post-crisis. EPC has no formally established criteria from endorsement of projects and there is no clear mechanism at Headquarters to ensure that there is no conflict between ongoing IOM humanitarian assistance and other projects in the same country. IOM's expansion and diversification has contributed to a situation where the resources to steer, support and further develop IOM's activities in humanitarian assistance has become too thinly spread over a too large area of operations. It is very difficult for the units to have both a strategic approach and to systematically build staff capacity for emergencies and post crisis operations.
- IOM has a small administrative budget and a 5% overhead on projects – restricted by the member states steering bodies – to finance Head Quarters, the 17 regional offices, liaison missions and two expanding administrative offices around the world, the latter representing a substantial cost-cutting. This administrative budget is becoming smaller in relation to the operational budget that has grown considerably.
- The IOM organisation and its operations is mainly developed on the country level based on the projects agreed with the host country and funded by the same country, donor countries or organisations, even if endorsement by the regional office and headquarters is usually required. The entire IOM structure is based on that IOM must develop new projects, due to its focus on projectisation. This study shows that this approach has to a large extent shaped IOM into what it is today, including its strengths and weaknesses.

## Conclusions and Recommendations

A summary of the conclusions in the order provided by the ToR:

### 1. Rational for selecting IOM for provisions of humanitarian assistance

IOM should consider, as part of a policy for its emergency assistance, to increase the clarity on the organisations commitment to follow the principles in the Code of Conduct. Sida may also review the phrasing of its Strategy for Humanitarian Assistance 2008–2010 in this respect.

Our interpretation of the Swedish Humanitarian Aid Policy, and a more stringent definition of the uniqueness of IOM in terms of providing services financed by the humanitarian budget, is that it is mainly immediate assistance from IOM during periods of emergency and in the immediate aftermath of the emergency that can be financed through the Swedish humanitarian budget. For assistance in post crisis situations and assistance with emergency related capacity building and prevention two questions arise: Can the assistance be financed through the humanitarian budget? Does IOM's uniqueness make it legitimate to fund the activity without tender? This study claims that some IOM operations are not unique and are also overlapping grey area between humanitarian and development assistance. A definition of IOM's uniqueness from a Swedish humanitarian perspective is proposed.

### 2. Forms and modalities for cooperation with IOM

For the purpose of strengthening IOM in humanitarian action, Sida is recommended to consider:

- Secondment of experts in humanitarian emergency assistance
- Consider trying to form a group of donors that approach IOM in order to initiate a discussion on how a more strategic approach to humanitarian emergency assistance for IOM can be developed and funded.

For the purpose of achieving humanitarian objectives:

- Develop arrangements for giving IOM and other organisations access to gratis personnel through Swedish rosters of experts



- Funding of projects in emergencies and the direct aftermath of emergencies based on strict criteria

### **3. Geographical considerations**

We have not found it possible to give any geographical guidance for when to fund IOM's humanitarian interventions and not. The following relevant aspects are recommended:

- Assess the context. In humanitarian assistance it is not only important to follow the principles and the framework for humanitarian assistance but also to be perceived as independent and neutral in the environment, such as if there is a risk that previous cooperation with the host government or a specific donor government can jeopardise the perception of IOM as independent and neutral.
- Assess IOM's capacity. IOM's capacity varies geographically, but this needs to be assessed on a project by project basis, even if assumptions sometimes can be made.

### **4. Criteria for assessment of IOM's projects**

The basic assessment of IOM projects for possible funding through the Swedish humanitarian budget needs to be the same as for all humanitarian projects, including

An assessment of if the proposal is in line with Sida's policy and objectives for humanitarian assistance.

- Considerations if the project is designed so that the results can be evaluated in view of the OECD-DAC criteria for humanitarian action.
- In the report, page 35, a summary of criteria to use when assessing IOM proposals is also provided.

# Abbreviations

|           |                                                                                   |
|-----------|-----------------------------------------------------------------------------------|
| ALNAP     | Active Learning Network for Accountability and Performance in Humanitarian Action |
| CAP       | Consolidated Appeals Process                                                      |
| CCCM      | Camp Coordination and Camp Management                                             |
| CERF      | Central Emergency Response Fund                                                   |
| CHF       | Swiss Frank                                                                       |
| CIMIC     | Civil Military Cooperation                                                        |
| COS       | Common Services                                                                   |
| CSP       |                                                                                   |
| DANIDA    | Danish International Development Agency                                           |
| DFID      | (UK) Department for International Development                                     |
| DG        |                                                                                   |
| DGO       |                                                                                   |
| DMC       |                                                                                   |
| EC        | European Commission                                                               |
| ECHO      | The European Community Humanitarian Aid department                                |
| EMERCOM   | (Russian) Ministry for Emergency Situations                                       |
| EPA       | Emergency Preparedness Account                                                    |
| EPC       | Emergency and Post Crisis (Division)                                              |
| HAC       | Health Action in Crisis (Division)                                                |
| HR        | Human Resources                                                                   |
| IASC      | Inter Agency Standing Committee                                                   |
| IDP       | Internally Displaced Person (Programme)                                           |
| IOM       | International Organization for Migration                                          |
| JPO       | Junior Professional Officer                                                       |
| MCDU/MCDA | Military and Civil Defence Unit/Asset                                             |
| MHD       | Migration Health Department                                                       |
| MUSD      | Million United States Dollars                                                     |
| NFI       | Non Food Item                                                                     |
| NGO       | Non Governmental Organisation                                                     |
| NORAD     | Norwegian Agency for Development Cooperation                                      |
| OCHA      | United Nations Office for the Coordination of Humanitarian Affairs                |
| OECD      | Organisation of Economically Developed Countries                                  |
| OECD-DAC  | OECD Development Assistance Committee                                             |
| OIG       | Office of Inspector General                                                       |
| RRTF      | Rapid Response Transaction Fund                                                   |
| SCPF      | Standing Committee of Programmes and Finance                                      |
| SEK       | Swedish Crowns                                                                    |
| Sida      | Swedish International Development Cooperation Agency                              |
| SIPU      | Swedish Institute for Public Administration                                       |
| TOR       | Terms of Reference                                                                |
| UN        | United Nations                                                                    |
| UNDP      | United Nations Development Programme                                              |
| UNHCR     | UN High Commissioner for Refugees                                                 |
| UNICEF    | United Nations Children Fund                                                      |
| UNJLC     | United Nations Joint Logistics Centre                                             |
| USAID     | United States Agency for International Development                                |
| USD       | United States Dollar                                                              |
| WFP       | World Food Programme                                                              |
| WHO       | World Health Organisation                                                         |

# Preface

Commissioned by the Swedish International Development Cooperation Agency (Sida), the Swedish Institute for Public Administration (Sipu) International AB has carried out a study of the International Organization for Migration (IOM), focusing on IOM's humanitarian interventions. The purpose of the study is to provide recommendations to Sida as follows:

- Rationale for selecting IOM's projects/programmes for Sida's humanitarian assistance;
- Possible forms and modalities for cooperation with IOM;
- Geographical recommendations;
- Determining factors when considering IOM as a prospective recipient of Sida funds.

As a basis for such recommendations the Terms of Reference (ToR) attached in Annex VI requests the study to map out IOM's presence in the field of humanitarian crisis and the total volume of IOM's humanitarian work during 2000–2008 as well as to map out and analyse different aspects of IOM in order to better understand the organisation from a humanitarian perspective. The following areas are included:

- mandate, role and organisational structure;
- administrative systems and routines;
- financial control;
- personnel administration;
- planning of humanitarian activities;
- coordination of humanitarian assistance;
- efficiency and effectiveness; and
- policy and method, including risk assessment.

It has been agreed with Sida that the study should scan IOM in these broad areas of potential interest while focusing more on issues assessed to be important as a basis for the recommendations.

Sweden has relations to IOM through the Ministry of Justice (responsible for migrations issues) as well as the Ministry of Foreign Affairs (responsible for development assistance and humanitarian assistance). The Swedish Migration Board is a government agency cooperating with IOM. Sida support to IOM amounted to slightly more than 140 Million SEK 2007 and 2008, out of which 53 Million SEK in humanitarian assistance mainly assisting refugees and internally displaced persons in southern Africa. Sida has also supported counter-trafficking projects, mainly in Europe, HIV/AIDS prevention in Africa, integration of victims of conflict mainly in Latin-American and as well as reconstruction of houses after earthquakes in Asia.

While taking into account the broader picture of IOM's operations and Swedish cooperation with IOM, this report focus on IOM's work within the framework of Sida's humanitarian assistance. We have reviewed a wide range of IOM official and internal documents as a desk study in Stockholm, but also in IOM's headquarters in Geneva. We have also carried out extensive interviews within IOM's headquarters. Additionally we have interviewed some donors, NGOs and UN organisations on their relations to and views on IOM's humanitarian assistance. The persons we have interviewed are listed in Annex I. The requested study is limited in the respect that no field studies are included, except some telephone interviews with IOM offices and Sida's representatives in Zimbabwe and Sudan.

We have received the best possible support from IOM when conducting the study and IOM's key staff have been open and constructive in our discussions. IOM has manually compiled statistics for us for the purpose of this study and also updated a description of typical core activities in different phases of emergencies and post-crisis. IOM has been provided the opportunity to scrutinize the facts presented in the report as well as to comment on our analysis and conclusions. We have incorporated the comments we have received from IOM, when appropriate We present our main analysis in the report. In Annex IV–V we answer the detailed questions in the ToR.

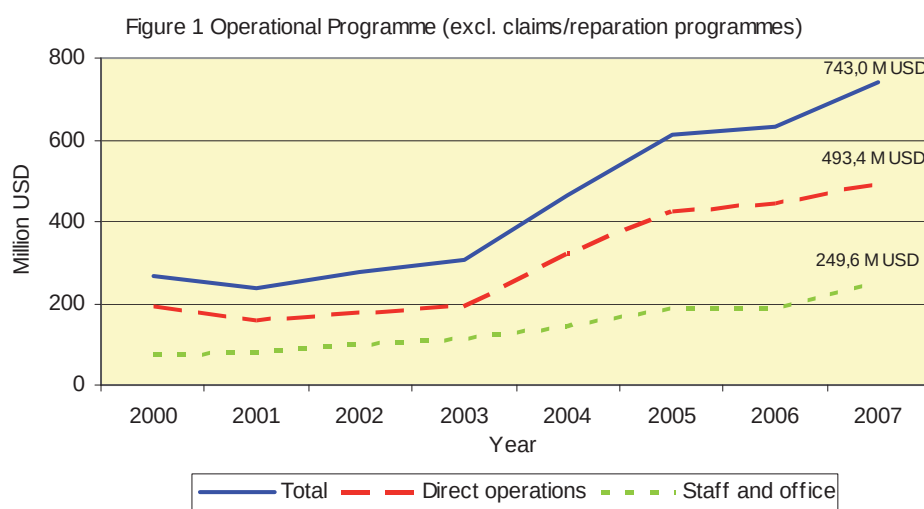
# 1 About IOM and its Humanitarian Activities

IOM began operations in early 1952, born out of the chaos and displacement of Western Europe following the Second World War. With a constitution adopted in 1953, the name became the Intergovernmental Committee for European Migration. Mandated to help European governments to identify resettlement countries for the estimated 11 million people uprooted by the war, it arranged transport for nearly a million migrants during the 1950s.

## IOM's Growth 1998–2008

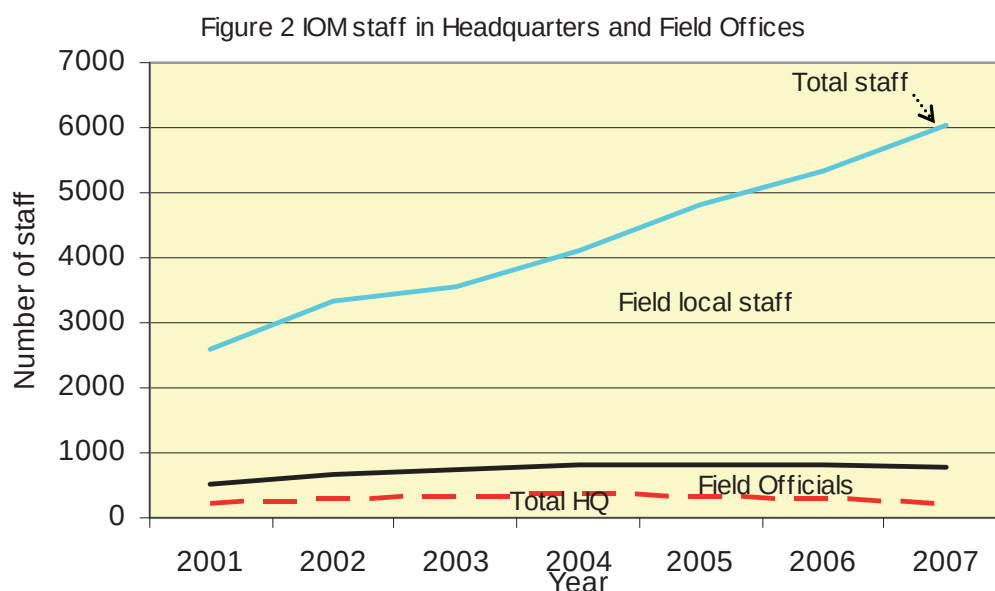
|                  | 1998  | 2008  |
|------------------|-------|-------|
| Member countries | 67    | 125   |
| Locations        | 119   | 400   |
| Projects         | 686   | >1800 |
| Expenditure MUSD | 242,2 | >940  |
| Staff            | 1100  | >6500 |

From its roots as an operational logistics agency, IOM has broadened its scope to become the leading international agency working with governments and civil society to advance the understanding of migration issues, encourage social and economic development through migration, and uphold the human dignity and well-being of migrants. IOM has been involved in many of the man-made crisis and natural disasters of the past half century – Hungary 1956, Czechoslovakia 1968, Chile 1973, the Vietnamese Boat People 1975, Kuwait 1990, Kosovo and Timor 1999, and the Asian tsunami and Pakistan earthquake of 2004/2005 as well as recently in the crisis in Sudan, Zimbabwe, Myanmar and Georgia. Since 1998 the IOM has grown rapidly, see examples in the box.



According to IOM's strategy, the primary goal of the organisation is to facilitate the orderly and humane management of international migration. IOM describes itself as the leading global organisation focusing on migration management. The IOM Constitution recognizes the link between migration and economic, social and cultural development, as well as to the right of freedom of movement. IOM aims at addressing the migration phenomenon from an integral and holistic perspective, including links to development, in order to maximize its benefits and minimize its negative effects and act at the request of or in agreement with Member States. IOM acts with its partners to:

- Assist in meeting the growing operational challenges of migration management.
- Advance understanding of migration issues.
- Encourage social and economic development through migration.
- Uphold the human dignity and well-being of migrants.



Based on the existing documentation, it is difficult to fully meet the requirement in the ToR to map out IOM's presence in the field in humanitarian crisis and the total volume of IOM's humanitarian work during 2000–2008. The main reason for this is that IOM defines itself as a migration agency and has structured itself accordingly. This naturally impacts on the possibility to retrieve information from a different perspective. IOM's total expenditure in the programme peaked 2005 with 922.0 MUS\$ due to exceptionally high expenditure that year in the German Forced Labour Compensation Programme. This amount is expected to be exceeded 2008, even if IOM now only implements rather limited reparation compensation programmes. The total expenditure is further illustrated in Annex II, together with an illustration of the significance of the changed value of the USD during the period covered by this report. When reparation and claims programmes are excluded, there is a steady increase of IOM's expenditure in the operational budget since 2001, see figure 1.

IOM also has an administrative budget used to finance some of the core functions in Geneva as well as in 17 regional offices, seven special liaison missions and two administrative centres around the world. The member states have insisted on a zero-nominal growth. In nominal prices this budget has increased by 12% since 1996 and now amounts to 39.4 Million CHF. The strategy to cope with the rapid growth of the operational budget has been to cut costs and to rationalise and delocalise the administration. The creation of the Manila and Panama Administrative Centres is a case in point, as staff cost only is a fraction of what it is in Geneva. When regarding the development of staff in the field and in head office in Figure 2 one must take into account that more than 100 staff members at the Manila Centre have taken over previous head office functions.

From a main focus of IOM's operations on Europe, the operations are now rather equally distributed over the globe, see Figure 3.

Also the pattern of funding countries and organisations has changed over the years. The relative importance of funding from USA has decreased from 41% of the total voluntary contributions to the operational programme 2003 to 21% year 2007, see Table 1. During the same period the importance

of funding from UN agencies, European Commission, U.K. and other donors has increased significantly. Funding from other member states may vary between the years. An example is the government of Colombia funding 72.1 MUS\$ year 2007 for operations in Colombia.

Figure 3 IOM's Operational expenditure 2000 - 2007 in per cent, by region

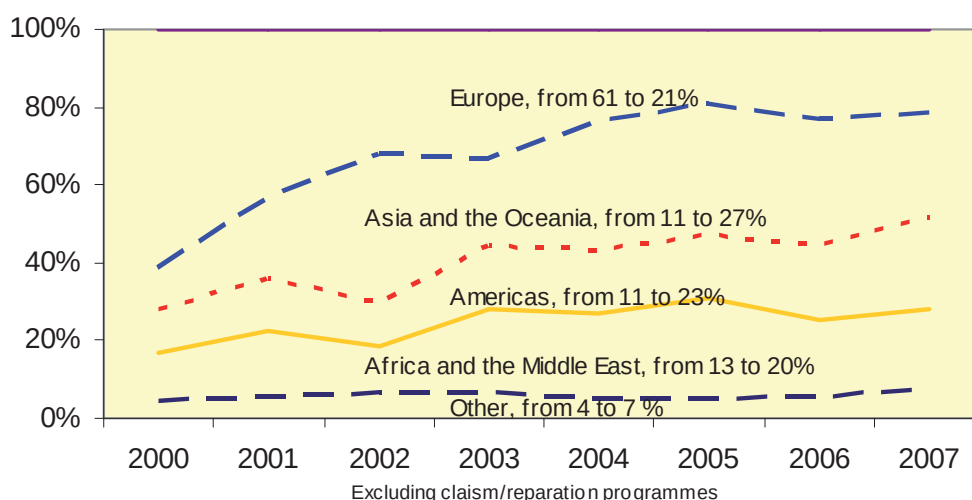


Table 1 Voluntary contributions (income) to the Operational Programme by group of donor in per cent\*

|                     | 2003  | 2004  | 2005  | 2006  | 2007  |
|---------------------|-------|-------|-------|-------|-------|
| Total MUS\$         | 317,0 | 565,0 | 655,8 | 670,3 | 864,5 |
| Sweden              | 3%    | 2%    | 2%    | 2%    | 2%    |
| U.K.                | 1%    | 2%    | 5%    | 8%    | 6%    |
| USA                 | 41%   | 34%   | 30%   | 27%   | 21%   |
| Other member states | 38%   | 27%   | 33%   | 30%   | 39%   |
| European Commission | 8%    | 5%    | 10%   | 12%   | 11%   |
| UN Organisations    | 1%    | 7%    | 3%    | 6%    | 7%    |
| Others              | 9%    | 24%   | 16%   | 15%   | 15%   |

\* Excluding contributions from the Foundation "Remembrance Responsibility and Future" funding German Compensation Programmes related to World War II year 2003: 93.5; 2004:124.3; 2005: 306.3; 2006 36.9; 2007:11.0 Million USD

Source: Financial reports 2003–2007

The contributions from Sweden have increased from 8 to 15 MUS\$, but remain 2–3% in relative terms.

The expenditure in IOM's different services 2004–2007 is shown in table 2. A difficulty for identifying humanitarian assistance from these figures is that IOM has not found any need to establish a clear definition on what "humanitarian work" is within IOM and that projects related to crisis can be found in different services. Service I *Movement, Emergency and Post-Crisis Migration* is by far the largest of IOM's services and include most of the projects related to humanitarian assistance in crisis. The expenditure for this Service was 336.7 and 390.8 MUS\$ 2006 and 2007 respectively. The relative size of *Movement, Emergency and Post-Crisis Migration* was more or less the same 2006 and 2007, see Figure 4. Projects involving humanitarian assistance in crisis can also be found in the area of *Migration Health*, and as exceptions also in other areas.

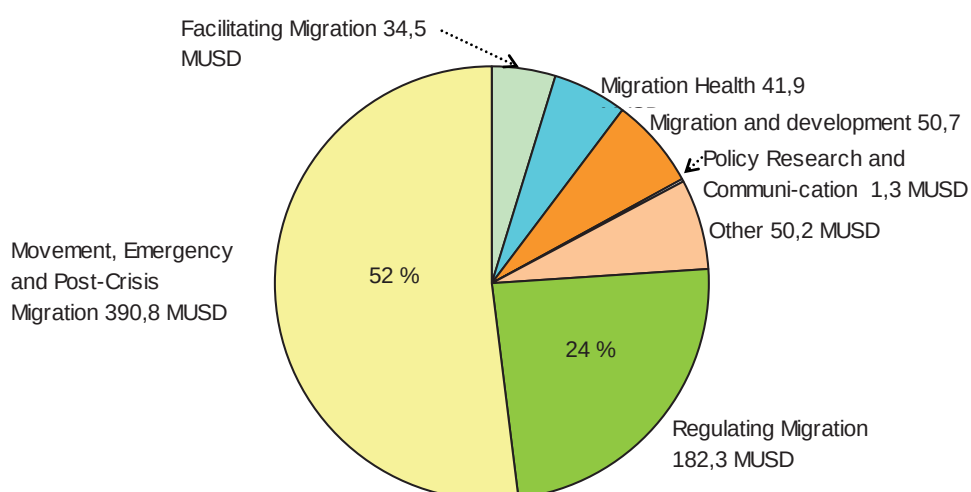
**Table 2 Expenditure in IOM's operational programme 2004–2007, adjusted to project classification 2006/2007\***

|                                     | 2004  | 2005  | 2006  | 2007  |
|-------------------------------------|-------|-------|-------|-------|
| Movement, Emergency and Post Crisis | 283,2 | 399,7 | 347,8 | 406,4 |
| Migration Health                    | 23,5  | 31,9  | 40,1  | 44,4  |
| Regulating Migration                | 105,1 | 127,5 | 156,8 | 190,0 |
| Migration and Development           | 37,2  | 38,8  | 53,5  | 51,9  |
| Facilitating Migration              | 6,4   | 3,4   | 26,9  | 35,6  |
| Claims/reparation programmes        | 146,0 | 312,9 | 71,6  | 14,4  |
| General Programme Support           | 6,5   | 7,8   | 6,4   | 9,9   |

\* Some discrepancies between this table and Figure 4 and Table A 5 respectively can most likely be explained by differences in grouping.

Source: The Director General's Report on the Work of IOM 2007

Figure 4 Expenditure in the Operational Programme 2007 by Service



In order to provide us with the best possible information about the development since 2001, IOM has manually gone through the budget documents and extracted projects related to humanitarian assistance in the context of crisis. Being a project based organisation, however, there are huge differences between the funding secured in the original budget and the actual expenditure during the year. There are also big differences between years. When the reparation programmes are excluded, the actual expenditure 2001 was slightly less than budgeted for while the expenditure 2006 was 183% of the budget and 2007 approx 170% of the budget. There is no data about to what extent these additional activities are related to crisis.



**Table 3 Budget/expenditure fully or partly related to humanitarian assistance in crisis, according to interpretations within IOM, Million USD**

|                                                                                                 | 2001  | 2002 | 2003  | 2004  | 2005  | 2006  | 2007  | 2008  |
|-------------------------------------------------------------------------------------------------|-------|------|-------|-------|-------|-------|-------|-------|
| Expenditure above budget, partly related to crisis                                              | 0,0   | 73,7 | 5,2   | 171,2 | 277,6 |       |       | 400*  |
| Expenditure Movement, Emergency & Post-crisis above original plan, related to refugees & crisis |       |      |       |       |       | 139,2 | 146,2 |       |
| Budget Resettlement, mainly refugees                                                            | 104,8 | 97,2 | 106,5 | 94,7  | 96,9  | 106,0 | 101,6 | 153,8 |
| Total budget fully related to humanitarian crisis                                               | 79,7  | 43,1 | 100,7 | 86,9  | 77,7  | 116,3 | 112,9 | 114,9 |
| – Emergency and post emergency operations                                                       | 25,0  | 18,2 | 90,3  | 64,7  | 47,2  | 88,9  | 93,0  | 90,2  |
| – Repatriation Assistance                                                                       | 2,3   | 0,5  | 0,6   | 0,6   | 3,5   | 2,1   | 3,0   | 0,7   |
| – Post emergency Migration Health Assistance                                                    | 3,2   | 2,3  | 0,3   | 0,5   | 0,8   | 2,5   | 0,1   | 2,1   |
| – Development linked to humanitarian crisis                                                     | 8,7   | 6,2  | 7,3   | 15,2  | 17,1  | 15,9  | 9,7   | 13,3  |
| – Return Assistance related to emergency crisis                                                 | 39,7  | 14,5 | 1,4   | 3,6   | 5,6   | 3,7   | 3,0   | 2,2   |
| – Return and Reintegration of Qualified Nationals emergency related                             | 0,8   | 1,3  | 0,8   | 2,3   | 3,5   | 2,7   | 3,0   | 3,7   |
| – Mass Information + information and referral                                                   | 0,1   | 0,0  |       | 0,1   | 0,0   |       |       |       |
| – Humanitarian assistance to stranded migrants                                                  |       |      |       |       |       |       |       | 0,2   |
| – Reparation programmes                                                                         |       |      |       |       |       | 0,6   | 1,2   | 2,5   |

\* Approximation as of August 2008

Source: our own compilation of expenditure and project lists manually extracted by IOM from budgets

According to IOM a significant proportion of the expenditure above the original plan and budget is related to humanitarian crises. This stems from the fact that the very nature of crises puts them outside of the budget planning framework. The budget for 2008 included 114.9 Million USD fully related to humanitarian crisis, according to IOM's selection of projects for our purposes. An additional 153.8 Million USD was budgeted for Resettlement Assistance. This service is mainly resettlement of persons holding a recognised refugee status, carried out in close cooperation with UNHCR. The services from IOM include health assessments and assistance, preparations and transportation of refugees to a third country. There is also a small proportion of resettlement directed by the country of final destination. As of August 2008, the expected expenditure had been revised upwards with approx. 400 Million USD from the original budget, with a mix of projects related to humanitarian crisis and other projects. See further Table 3.

**Table 4 Funded projects endorsed by EPC and MHD 2007 by main character**

| Type of assistance                                  | No. of projects | Secured funding MUS\$ | Time for implementation |
|-----------------------------------------------------|-----------------|-----------------------|-------------------------|
| Total                                               | 144             | 294.7                 |                         |
| Immediate Assistance                                | 44              | 40.2                  | 1–12 months             |
| Health Assistance                                   | 18              | 6.5                   | 6–36 months             |
| Disarmament, Demobilisation and Reintegration (DDR) | 19              | 29.3                  | 2–36 months             |
| Community Stabilisation Programmes (CSP)            | 63              | 218.7                 | 1.5–36 months           |

Source: Project lists from EPC and MHD. For MHD we used a list of ongoing projects 2007, excluded projects started 2006 or earlier and used the project budget instead of secured funding.

Within the programme of *Movement, Emergency, and Post-crisis* there is a sub-category, *Emergency and Post-Crisis* (EPC) with a corresponding unit EPC in the *Department of Operations*. All projects in EPC are considered to be humanitarian assistance in crisis. Health activities are endorsed by the Migration Health Department (MHD). Pure health activities (as related to emergencies) are included under MHD's programmes in the subcategory Migration Health Assistance for Crisis-affected Populations, while health activities that are integrated in broader IOM emergency programmes, tend to be included under EPC's programmes. Table 4 gives an overview of the main character of the funded projects endorsed by EPC and MHD 2007. Two projects in Colombia addressing Reintegration and Livelihood, funded by USAID and the government of Colombia respectively, represent almost half of the value of CSP projects (104.6 MUS\$) to be implemented during several years.

**Table 5 144 funded IOM projects endorsed by EPC and MHD 2007 by country**

| Countries with UN Humanitarian Coordinators |       |             |             | Other countries |       |             |             |
|---------------------------------------------|-------|-------------|-------------|-----------------|-------|-------------|-------------|
|                                             | Total | Emergencies | Post Crisis |                 | Total | Emergencies | Post Crisis |
| Afghanistan                                 | 5     | 2           | 3           | Angola          | 13    | 3           | 10          |
| Colombia                                    | 14    | 3           | 11          | Croatia         | 1     |             | 1           |
| Congo                                       | 3     | 1           | 2           | Ecuador         | 2     |             | 2           |
| Cote d'Ivoire                               | 4     |             | 4           | Ghana           | 1     | 1           |             |
| Ethiopia                                    | 1     | 1           |             | Global          | 2     |             | 2           |
| Haiti                                       | 2     | 2           |             | Kosovo          | 2     |             | 2           |
| Indonesia                                   | 19    | 7           | 12          | Lebanon         | 3     | 1           | 2           |
| Iraq                                        | 6     | 5           | 1           | Madagascar      | 1     | 1           |             |
| Pakistan                                    | 4     | 2           | 2           | Mexico          | 2     | 2           |             |
| Somalia                                     | 3     | 1           | 2           | Mozambique      | 3     | 1           | 2           |
| Sri Lanka                                   | 6     | 2           | 4           | Peru            | 2     | 2           |             |
| Sudan                                       | 22    | 1           | 21          | Philippines     | 5     | 5           |             |
| Timor Leste                                 | 1     | 1           |             | Serbia          | 1     |             | 1           |
| Uganda                                      | 3     |             | 3           | Thailand        | 1     |             | 1           |
| Zimbabwe                                    | 10    | 5           | 5           | Turkmenistan    | 1     |             | 1           |
|                                             |       |             |             | Zambia          | 1     | 1           |             |
| Subtotal                                    | 103   | 33          | 70          | Subtotal        | 41    | 17          | 24          |
|                                             |       |             |             | Grand total     | 144   | 50          | 94          |

Source: Project list from EPC and MHD. 1 project in Colombia also covered Ecuador, Venezuela & Panama; 1 project in Kosovo also covered Bosnia.

2008 EPC/MHD also covered Bolivia, Kenya, Kyrgyzstan, Lebanon, Myanmar and South Africa

In 2007 EPC and MHD endorsed 103 projects in providing Immediate Assistance, Community Stabilisation Programmes or support to Disarmament, Demobilisation and Reintegration in countries with a UN Humanitarian Coordinator, and 41 projects in other countries, see Table 5. EPC/MHD endorsed 7 projects in Indonesia considered as emergencies; whilst there are no humanitarian operations under the framework of the UN coordinated humanitarian emergency assistance.

Table 6 further details the nature of IOM's emergency assistance and activities in post crisis situations. While it is clear that there is a broad variation of activities/sectors covered in the projects, it is also clear that some are more frequent than others. In emergencies IOM often has a role in Camp Coordination and Camp Management. Assessments and Registration as well as Profiling and Information Management are also common in IOM's emergency projects.<sup>1</sup> Other frequent activities in emergencies are the provision of shelter, distribution of non-food items, logistics and transport and health emergency assistance. Projects in post crisis situations are dominated by Disarmament, Demobilisation and Reintegration as well as subcategories of the broader concept of community stabilisation – the most frequent being infrastructure, return and reintegration. 40 projects fall under IOM's broader concept of Community Stabilisation, 11 of them in emergencies.

**Table 6 frequency of activities/sectors covered in the 144 funded projects endorsed 2007 by EPC/MHD**

| Activity                                                                      | Total      | Emergencies | Post crisis |
|-------------------------------------------------------------------------------|------------|-------------|-------------|
| <b>Number of projects</b>                                                     | <b>144</b> | <b>68</b>   | <b>76</b>   |
| Camp Coordination & Management                                                |            | Common      | Common      |
| Assessments, Registration, Profiling, Information Management                  |            | Common      | Common      |
| Infrastructure, Water and Sanitation                                          | 33         | 11          | 22          |
| Shelter                                                                       | 31         | 25          | 6           |
| Distribution of Non-food Items                                                | 28         | 26          |             |
| Logistics, Transport, Procurement                                             | 25         | 20          | 5           |
| DDR reintegration, conflict mitigation, human security                        | 23         |             | 23          |
| Return and Reintegration (excl DDR)                                           | 19         | 3           | 16          |
| Health Emergency Assistance*                                                  | 18         | 18          |             |
| Livelihood                                                                    | 14         | 7           | 7           |
| Health Support – medical teams, gender-based violence, HIV-AIDS, psychosocial | 13         | 5           | 8           |
| Protection                                                                    | 11         | 2           | 9           |
| Other CSP**                                                                   | 8          | 1           | 7           |
| Distribution of Food                                                          | 7          | 7           |             |

\* See example of the more detailed activities in the text.

\*\* Includes monitoring assistance mixed migration, technical support and capacity building, prevention and preparedness, transition initiatives and not specified CSP.

Source: Project list from EPC, further developed in discussions between EPC and the consultants.

There has been a discussion among member states on IOM's involvement in protection activities. IOM has no formal legal protection mandate, albeit that the effects of its activities contribute to the protection of persons involve in migration. The 11 projects with a main activity labelled “protection” in the list we reviewed are funded by the UN-controlled Common Humanitarian Fund Sudan 4; OCHA-CERF 2, UNHCR 1, ECHO 1; Australia 1; Norway 1 and USAID 1.

<sup>1</sup> The information on the number of projects including this activity on the list we have reviewed is misleading, since only projects where it is the major profile of the project has been marked.

**Table 7 Volume of IOM humanitarian emergency assistance in the UN-coordinated framework**

|                 | <b>Contributions/Comittments, MUSD</b> |
|-----------------|----------------------------------------|
| 2006            | 72,8                                   |
| 2007            | 86,4                                   |
| 2008 up to Sept | 77,9                                   |
| Total 2006–2008 | 237,2                                  |

In 2007, migration health activities included assistance to IDPs in Sudan and Colombia, conflict- and tsunami affected populations in Indonesia, tsunami affected in Thailand, displaced in Bosnia and Herzegovina and Kosovo and returnees in Zimbabwe. The type of assistance provided was in the areas of mother and child health, mental health and psychosocial support, reproductive health and a wide range of other primary health care issues. The expenditures in 2007 for such purely health activities in the context of emergencies amounted to some USD 5 million.

IOM has identified the contributions and commitments for projects proposed in the framework of UN-coordinated humanitarian emergency assistance. As can be seen from Table 7 there seems to be an increasing trend for these contributions/commitments with a volume the year 2008, up to September, of 77.9 MUSD.

## 2 The Nature of IOM

In this Section we make an attempt to understand the unique organisation we believe IOM to be by discussing IOM's

- Members, mandate and strategy;
- Management of direction and operations;
- Strong administrative systems; and
- Culture, strengths and criticism.

### 2.1 Members, Mandate and Strategy

In our understanding, IOM is a rather unique organisation. It is an intergovernmental organisation, independent from but with a special relation to the UN system, controlled by its 125 member states. In the absence of an international treaty or convention on migration, the mandate for IOM is based on its constitution. The views on migration and the ideas on how to use IOM vary a lot between member states, which explain why neither the constitution nor the recently developed strategy expressed in 12 points provide any clear restrictions or directions for IOM's operations.

The Constitution is the base from which IOM defines 5 main principles, called purpose and functions. The current strategic focus is defined in 12 points in a strategy accepted in 2007. The Council, where each member state has a place is the highest authority determining IOM's policies. The Executive Committee, elected by the Council, examines, and reviews the policies, operations and administration. The Standing Committee of Programmes and Finance (SCPF) is open to all member states and discusses mainly programmes, budgetary and financial matters. See further Annex V.

IOM's strategy was developed in a three year process by a working group defined by the Council. One of the main stumbling blocks was the definition of the role of IOM in terms of the protection of individuals. A foot note in the strategy explains that IOM has no formal legal protection mandate, albeit that the effects of its activities contribute to the protection of persons involved in migration. According to our interviews the strategy has not yet really affected or restricted the operations of IOM. Some claim that it was the process of creating the strategy rather than the result that was most important. During the process the member states acquired an increased understanding of the big differences in views between members on IOM's role. This is considered important since the number of member states has increased rapidly and different members largely have different views on the role of IOM. In our interviews we have heard several examples of how IOM has been criticised for going out of its mandate or venturing into areas where IOM is not expected to be by one ministry, while it turns out that the same activity is financially supported by another ministry from the same country. Thus, different views on how to use IOM also exist within member states and few members have a clear coherent strategy for its relation to IOM.

Everyone seems to acknowledge that that mandate and the strategy are very broad and do not provide any clear focus. Over time IOM's projects will increasingly be explicitly linked to the 12 points in the strategy. Describing projects in the terms used in the strategy will in the long term have some influence on what the organisation does. Some member states have made requests to the administration for further details on policy and approach for different parts of the strategy – requests that have not yet been decided on.

## 2.2 Management of Direction and Operations

The executive management of IOM has chosen *not* to primarily steer the organisation's direction and operation through traditional measures such as policy/strategies, operational plans, objectives, allocation of resources to operations and analyses of performance and results. Instead IOM's direction and operations are mainly steered through a market-oriented approach with a large degree of decentralisation. An internally explicit objective has been that IOM should grow into a global organisation with global presence. The organisation and its operations is mainly developed on the country level based on the projects that can be agreed with the host country and funded by the same country, donor countries or organisations. Usually, however, endorsement by the regional office and headquarters is required. This has been a successful approach to enable growth and diversification of IOM. The "projectization"<sup>2</sup> goes far and country missions have with few exceptions no staff resources except those funded by projects.<sup>3</sup> The central and regional administration is also thin, not only because of the "projectization" but also because member states have not been willing to let the administrative budget grow or the overhead charged to increase beyond the 5%.

The member states have not decided on any clear objectives of the organisation on a more detailed level than expressed in the broad mandate and strategy.<sup>4</sup> Every year, IOM develops its so called "Blue Book" – the Programme and Budget. This planning document describes how IOM is organised, how the administration budget and discretionary income is used and the programmes and projects in the operational programme for which funding have been agreed. The Blue Book does not elaborate any overall objectives for IOM. It includes a heading "Objectives for Programme Areas", but the text under this heading is a description of what IOM does in each of the areas. Similarly, neither the Blue Book nor the Director General's annual report on the work of IOM includes any analyses of IOM's performance or results related to objectives, even if the annual report include descriptions and statistics pertain-

<sup>2</sup> See explanation to this IOM concept later on in this Section.

<sup>3</sup> According to the original budget for 2008, 16 posts in 10 country missions were to be financed by discretionary income. Some discretionary income is also used to bridge gaps between projects when funding has been secured.

<sup>4</sup> There are however some policy documents, for example the Policy for Internally Displaced Persons from 2002, being a mixture of providing information on what IOM does and some guidance for principles to be followed. See further Section 3.2.

ing to the past year's activities. Reports to individual donors also include analysis of activities carried out. According to our interviews IOM has not made any studies analysing its working environment in general or analysing client satisfaction or how IOM is perceived by financing institutions and among partners, for example NGOs or UN agencies.

Growth has been justified by the fact that migration is growing and becoming more complex. The Director General has also had a clear ambition that IOM shall be a global organisation with global presence able to respond to members' requests in the broad area of migration. IOM is a service provider to states, the states sets the level of ambitions. This is the justification of growth on the general level.

It is only approximately 7% of the total resources that are allocated through decisions in the budget process.<sup>5</sup> 93% of the total original budget constitutes the operational budget financed by member states and the donor community mainly through funds earmarked for specific projects.

The listing of secured projects within each service area gives an aggregate description of what IOM has agreed with donors and host countries to do. The Blue Book gives a good overview of the *planned* operations, by including a description of each programme/project. The projects actually carried out during a year differ a lot from the original budget, as projects are extended and new projects are agreed by the administration during the year. Even if the operational budget is updated twice a year, it constitutes more of an aggregate of the projects that have been agreed and funded, rather than being an instrument for directing the organisation.

The budget process is more important for the allocation of resources financed by the administrative budget and discretionary income. The administrative budget constitutes 4% of the original budget, funded by assessed contributions from member states using the UN assessment scale; this covers costs for core staff and office structure. The discretionary income – 3% of the total budget – comes primarily from the general overhead on projects (5% as an administrative overhead from project budgets), income of interest and some other minor sources of income. Discretionary income is mainly used for the Manila and Panama administrative centres, resources for missions with a regional function and special liaison missions and some other costs at HQ. The sources of income are scrutinised by the Finance Committee every year and are always debated.

Out of the approx. 6,500 staff members, 6% (385) are financed by the administrative budget or discretionary income while 94% are fully financed by projects. Country missions have with few exceptions no staff resources except those funded by projects. Missions with a regional function and special liaison mission have some resources independent of the projects, financed by the administrative budget and by discretionary income. For the rest the principle is to release staff at the end of projects and, if no new projects can be started, to withdraw from that country. The project oriented funding, allocation of resources, management and follow up of operations is by IOM referred to as the organisation being "projectized". For practical purposes we will use IOM's terminology in the report.

When "projectization" was introduced 1993, it was a tool to make the organisation more efficient and enable a flexible adjustment to large variations in size and character of operations in different countries. The entire IOM structure is dependant on IOM developing new projects, to keep the staff operational. Most staff are on short term contract; therefore it is then natural that such staff does its best to survive and expand within IOM. In our understanding, this flexibility for IOM has also become an important element in the ambitions to grow, and this growth is mainly dependant on what can be achieved on the ground in different countries – rather than on setting priorities, policies and develop services from headquarters. Based on the experience from several projects, IOM has then further developed certain

---

<sup>5</sup> Since funding of a lot of projects are decided during the year, it is actually less than 7% of the resources that is allocated through the decisions in the budget process.



concepts they have been able to market on a broader scale. Two examples are counter-trafficking and ongoing initiatives to further develop concepts for labour migration.

There are no standardised requirements or structures for strategies or operational plans on the regional or country level. For some countries, IOM has strategic plans based on the structure and need in each country or region. We have looked at a few examples which seem to live up to best practice, albeit taking into consideration that IOM is a project driven organisation with difficulties to predict the future development in advance.

The explanation for these observations is simply that IOM is a very special type of organisation. It is an organisation mainly steered, directed, followed up and analysed on a project basis. While it is possible for different members and actors to have diverging views of what kind of organisation IOM ought to be, it is crucial to understand the nature of the organisation.

Heads of Missions and Regional Heads are expected to report on development of new projects and programmes to respond to migration issues, needs related to migration, to analyse local trends, changes in government policies, upcoming events as well as the potential of IOM activities. Our interpretation of the reporting requirements for country missions and regional missions is that there is a focus on new opportunities, even if on-going activities should also be reported.

In growing to an organisation with a global presence, IOM's management has been willing to take risks, and has also sometimes received criticism for projects. The risk the organisation has taken has been conscious and the projects that have been criticised have often been decided by the Director General in person. The choices on how to manage IOM's direction and operations gives a lot of freedom to heads for Country Missions. All organisations depend on individuals on the ground, but IOM is more dependent on persons on the ground than UN organisations and the large humanitarian NGOs, in particular on the head of country missions.

## 2.3 Strong Administrative Systems

While the direction and operations of the organisation are generally not steered from the headquarters, there is a centralised administrative system that all missions have to adhere to. From an administrative and financial perspective, IOM seem to be a modern and well managed organisation, even if improvements always are possible.

While the direction and operations of the organisation are not generally steered from the headquarters, there is a centralised administrative system that all missions have to adhere to. The systems and terms for personnel are based on the international civil service systems used by UN agencies. The world wide financial management system is currently replaced by a system based on SAPS software, covering accounting and integrated financial management, human resources management and project management (the PRISM)

As part of this study we have examined administrative and financial systems. All policy or systems we have asked for have been in place or are under development. Our interview with the Inspector General clarified that IOM's strength of flexibility and innovations also has a downside in terms of some difficulties to get staff to adhere to the administrative systems. Independent mechanisms for internal audit, investigation in case of suspect misconduct are in place. Our conclusion is that IOM in all material respects is a modern and from an administrative perspective a well managed organisation. The external auditors, as well as auditors conducting a special study on behalf of the European Commission, have for example concluded that the systems for internal controls are robust and that the procurement guidelines are followed. Having said this there are of course areas for further improvement.

A concern for the auditors has been the strength of the internal audit function, which has been considered understaffed. In our study we have made a similar observation for the professional Division for Emergency and Post Crisis (4 staff members plus 2 temporary staff), the function for Rapid Project Assessments (1 staff member) and the function evaluations (1 staff member). Evaluations of IOM's projects mainly depend on funding by the projects or special funding from donors.

See further about administrative systems, financial management and project management in Annex V.

### **Evaluation of indirect support costs**

We have also studied the report initiated by the Swedish Ministry of Foreign Affairs and presented in July 2008, on indirect support costs to actors working within the Humanitarian Field. IOM was included in this study. The study maps out how the humanitarian organisations calculate and apply indirect costs charges and use the income generated. For IOM the administrative overhead of 5% deducted from all project funds was studied, including how the overhead has been decided, how it is calculated and how it is used. In IOM the overhead becomes part of the discretionary income.

In relation to the other organisations that were part of the study, the IOM practise is more transparent and more reasonable. What was not studied, however, was if there are embedded indirect support costs in the projects and how these are used, irrespective of a separate overhead that are taken from the financial results of the project, to finance other costs. It should be noted that IOM is clearer on the 5% overhead than many other organisations, who generally cannot even make such a distinction.

## **2.4 Culture, Strengths and Criticism**

We understand IOM as a highly professional organisation generally appreciated for providing good services. The organisation has many characteristics that can be considered as strengths. The same characteristics together with the objective to grow can also explain why IOM is sometimes criticised, among other things for the not focusing on core areas. Swedish development aid can be channelled through non-profit organisations without tender based on the organisations uniqueness. Our conclusion is that the Swedish government cannot rely on IOM for a definition of the uniqueness of the organisation, but need to establish its own definition.

IOM has developed a special culture based on its historic development, the nature of its traditionally core operations (transportation of people and logistics) and its structure, especially the decentralisation and “projectization”. IOM can be characterised with words as:

- Flexibility;
- Innovations;
- Non-Bureaucratic;
- Doers;
- Successful Service Provider;
- Fast Response;
- Donor-driven;
- Receptive and Pragmatic.

In our understanding, IOM is a highly professional organisation, proud of its achievements and of the services they provided. IOM has openly received us and other studies on an institutional level; the organisation is also willing to accept associate experts on a very high level. IOM is open for different audit arrangements as requested and financed by donors – using IOM's internal audit function or appoint separate auditors as the donor may wish. The same open attitude is taken in regards of evaluations.



In our interviews with donors and partners, IOM has been commended for:

- being an effective and convenient service provider;
- for having competent staff;
- for its flexibility and ability to mobilize quickly;
- its nimbleness;
- its excellence in public relations;
- that IOM field staff are easy to discuss with and that IOM is always prepared to change and
- accommodate; and for
- its quick and competent response to support governments in need.

An issue for some donors and partners seems to be whether IOM has any limits on the type of projects the organisation is prepared to implement. Is there any core area for IOM? We have noted in our interviews that some IOM officials are not inclined to define a core area of operation. Being a large and global organisation, there are of course different views within IOM. We have noticed that there are some differences on the headquarter level where some people would like to see IOM more focused on core areas of operations where they have or can develop a well established expertise and methodology. Possibly the differences can be linked to the internal objective of growing into an organisation with global presence able to respond to members requests in a broad area of migration, which can come into conflict with a view that IOM should focus more on core areas of expertise.

Depending on the views and expectation of others, some of the characteristics above may explain IOM's success in terms of expansion and the label of an effective service provider it has been given, as well as the criticism IOM sometimes receives.

Swedish development aid can be channelled to non-profit organisations, such as government agencies and NGO's, without tender if the activities are based on the organisation's uniqueness. Our view is that the same logic must be applied for Sweden's relation to IOM. That makes it important from a Swedish perspective to define IOM's uniqueness. Obviously then, what falls outside IOM's uniqueness, must be secured by other means, such as open tenders or by engaging other organisations. Our conclusion is that IOM's current operations cover such broad areas without being clearly steered by strategies and principles that the Swedish government at the moment cannot rely on IOM for a definition of the organisation's uniqueness. Instead the Swedish government needs to make its own definition of IOM's uniqueness. We will come back to this issue more specifically addressing Sida's humanitarian assistance in Section 6.

Clearly, the "projectization" has been driven far in IOM and IOM has had an internal objective of growing to an organisation with a global presence able to respond to request from its members in the broad area of migration. It would not be a surprise to us if the incoming Director General saw a need for consolidation of IOM to be more focused on core areas of activities and to try to convince member states of a need to avoid bringing the "projectization" too far. On the more immediate future, it is a matter for other actors to understand the nature of IOM at the same time as IOM should assess how the organisation can further improve its important role in the area of migration, and for the purposes of our study, in the area of humanitarian assistance.

## How can the criticism of IOM be understood – from an IOM point of view?

The following examples of criticism, and the explanation from an IOM perspective of how they may arise, provide important insight to IOM's nature and to what can be expected from IOM. Different actors may then support this character of IOM or work towards changing IOM – through membership, requirements in projects and debate. Thus, it is a method to increase the understanding of the nature of IOM, without any information on the frequency or severity of the criticism. Several of the examples of criticisms have been provided by IOM. We have developed the explanations to the different types of criticism out from our interviews and own analysis of the nature of IOM. Only in the last bullet, Criticism 9, do we express an own opinion on the matter, which then is explicitly stated.

*Criticism 1: It is difficult for the outer world to get a grip of IOM. Who are they? What are they good at? What principles do IOM staff follow? Can they really do everything?*

IOM acknowledges the difficulties for other actors to grasp and understand the organisation. This is seen as a result of a broad mandate of migration, where the member states have largely diverging views on what IOM should be and do. It is also affected by the decentralised and so called “projectized” steering mechanisms for IOM, which is partly a result by the member states’ restrictions on the administrative budget and discretionary income and partly a top management choice and strategy.

*Criticism 2: In 2001 Australia funded camps at Papua New Guinea and Nauru for asylum seekers, after refusing to let them ashore from the boats. IOM was assigned by the Australian government to establish the camps and provide direct assistance to the asylum seekers. IOM was criticised by NGOs for not publicly criticising the Australian government.*

IOM does not publicly criticize governments. In this example, IOM did not see it as their responsibility to criticize the Australian government for not letting the asylum seekers ashore in Australia – that was considered to be the role of NGOs and possibly UNHCR. IOM mainly takes the responsibility for what the organisation *does* and may be prepared to assist migrants in need even in situations where the host government or the donor government has a role in creating the situation.

*Criticism 3: In 2007 IOM agreed with the government of Libya to establish a presence in Tripoli to assist in efforts dealing with illegal migration. The government has not been willing to involve UNHCR, which considers asylum issues to be at core of the problems. IOM has been criticised for not insisting that the government should involve UNHCR. In other cases IOM has been criticised for assisting in voluntary return when the refugees were, practically speaking, not given any realistic choice by the host government.*

IOM can discuss with governments on how they are expected to act according to international law and share IOM's experiences on the results and consequences of different lines of action. However, in the absence of a normative mandate *IOM's view is that the organisation cannot tell governments what they should do or how to do it*. IOM may be prepared to assist migrants in need even in situations where the host government or a donor government restricts what or how assistance is provided. In Libya the government did not want any systematic screening for refugees. IOM accepted to carry out the assistance anyway. IOM would have welcomed the involvement of UNHCR, but did not insist on it. As long as IOM can adhere to minimum standards in their own activities, IOM may not insist that governments will do other things that are expected of them as a precondition for the involvement of IOM.

IOM's constitution lists voluntary return as a service to be provided by IOM, which is interpreted as that IOM cannot engage in forcible return. According to our interviews, IOM sees it as an absolute requirement that refugees or migrants shall be allowed to change their mind before entering on the

aircraft or vehicle. If this requirement is met, IOM may be involved in “voluntary return” where people are put in a position where the only reasonable choice is to return even if that is not what they would like to do. According to our interviews, IOM’s staff has a clear instruction to always respect if a persons claim asylum. That does not necessarily mean that IOM would insist on systematic screening for refugees or active information provision to migrants on their right to seek asylum.

*Criticism 4: West Africa – IOM helped children to return from work in cocoa farms to be reintegrated in their home communities. To free them from the farms, IOM paid money for release of the children.*

In our understanding, this kind of criticism arises from the fact that IOM sometimes *acts unconventionally* combined with a the culture of being *doers rather than strictly based on principles*, an innovative culture where people want to find solutions to problems, and during the last decade a *risk-willing top management*. We have heard more than one example of IOM starting an activity that has not been generally accepted, having received criticism as a result. Sometimes IOM has not repeated the activity – as in the solution of paying to free children from coco farms. At other times IOM has applied practices that have become a generally accepted best practice spread over the world – as is the case with assisted voluntary returns. Whether IOM’s unconventional actions have been appropriate or not may can be deemed a matter of opinions.

*Criticism 5: IOM is sometimes criticised for expansive behaviour and running after new projects, not hesitating to compete with other actors or enter into enter into new areas of operation. Sometimes IOM is as perceived as lacking a compass or a clear focus in its operations – being prepared to do almost anything.*

This kind of criticism seems to emerge in quite different ways.

A) Partly it reflects a necessity in the reality IOM works in, being a “projectized” organisation. IOM is very active in generating new projects, identifying needs and liaising with host governments, donor countries and organisations. This necessity is further emphasised by IOM’s culture and the choice by top management to build an organisation with a global presence able to respond to requests in a broadly defined area of migration. Several IOM officials have stated: “If it is within our (broad) mandate, is accepted by the host government, can be funded, and IOM has the capacity to do it well – then IOM will most likely do it”. If one donor is not interested in funding a project, IOM would most likely look for funding from other actors. This can be understood as a result of the *objective to grow to a global organisation able to respond to members’ requests, the flexible and innovative culture, the “projectization” and sometimes self-interest among staff to generate new projects*. IOM would not accept, however, projects that do not meet minimum standards.

B) IOM has also been criticised for entering into UNHCR’s domain. IOM has informed us that this is sometimes based on *misunderstandings* on the global rather than the local level. One example is when IOM worked with displaced persons from Colombia in neighbouring countries, an activity which according to IOM was based on an agreement on the ground with UNHCR that these persons are not asylum seekers. Another example is when IOM tendered for delivering training and was criticised for encroaching onto UNHCR’s area of operations, while UNHCR was not even being an alternative for providing the course since the organisation as a matter of principles doesn’t tender for assignments.

C) A third reason is that IOM has a special role in having both host countries and donor countries as members. IOM has a special role in having gained legitimacy from being an intergovernmental organisation (rather than a business) and still using a market-oriented approach to project development and implementation. A business could not approach host countries and donors with own ideas for projects in the same way as IOM can do. And for example UN agencies would not have the same market-

oriented approach. This can be a reason why IOM sometimes can be a *preferred partner* to host governments or donors. This can also be influenced by previous cooperation and good services as well as for example that IOM is not mandated to tell countries what to do and have the strategy of not publicly criticising governments. Sometimes IOM has also for different reasons been so well positioned in a country or in a sector that IOM is the only alternative for provision of services in the short perspective. If a member state requests IOM to carry out a project, it can be very difficult for IOM to turn this request down or even to avoid trying to fund the request by approaching potential donors. Partly this is linked to the choice by top management to build an organisation able to respond to requests in the broad area of migration.

*Criticism 6: Even if IOM has a mandate that can be interpreted extensively, there are examples when the organisation has been criticised for going out of its mandate. One example is when IOM in Afghanistan tendered for a road construction project, mainly because they had some staff with the relevant competence. That competence was acquired in a previous project when a robust infrastructure was considered as important to move the project target group.*

Obviously IOM has on some occasions carried out or planned for projects *outside of their mandate*. In our interviews within IOM, this has generally speaking been considered as a mistake that should not be *justified*. Our interpretation is that this has been possible because of the unofficial objective to grow to an organisation with a global presence, the far reaching *decentralisation* with a high degree of dependence of staff on the ground (staff that sometimes have a *self-interest* in generating new projects) and *an institutional weakness and lack of clear policy* for what projects that can be endorsed and not from headquarters. IOM would argue that other organisations have also exceeded their mandate in the past.

*Criticism 7: IOM is sometimes criticised for what is called “mission creep” – when an assignment stepwise is changed incrementally to something completely different from what it started as.*

This criticism is partly correct and can be understood in the same way as IOM’s tendency to be expansive and to run for new projects. Partly, however, it is also an effect of that IOM defines itself as *an organisation for migration* having a role in emergencies, post crisis situations, transition and development as well as when countries are well developed and stable. That gives some legitimacy to always look for the needs at hand at the moment, and to flexibly and pragmatically adjust the type of projects. It may also be the case that one donor decides to fund a proposal which another donor believes to be out side the mission of IOM. In addition, some donors/countries have not sorted out within themselves what IOM should or should not do in a specific country or in a service area, which results in that that the message to IOM is blurred.

*Criticism 8: More than one of the donors we have interviewed has mentioned that IOM is perceived as expensive. We have not been provided with any detailed examples or comparison showing the basis for this perception.*

“I don’t know. I don’t think we are more expensive than anyone else”. This is one answer we have heard in our interviews, but none has really given us any clear views or made us understand why some donors perceive IOM as comparably expensive. Without any substantial evidence, our own guess is that it may be a combined effect of the following.

- IOM often works in difficult contexts which may increase the cost. Not only IOM has difficulties to correctly explain and calculate what is required in emergency situations;
- IOM is in terms of its status, its wide mandate and as a result of its own innovative approach, often placed in positions where it is in practise the sole provider of certain services. Hence, there are often

no other providers that are in a position to suggest other approaches that can be evaluated from a cost effectiveness perspective;

- IOM has a thin core funding – project funding need to cover almost everything, including training of staff, staff security, indirect administration, liaison with donors, host countries and other actors and development of project proposals

*Criticism 9: IOM use project funds for other purposes than formally agreed. This criticism has been formulated by us as part of this mission, even if some donors we have interviewed has noticed that this must be the case.*

IOM has in practice a system where some project funds are used for other purposes than formally agreed on. On top of the official 5% overhead on all projects this becomes an additional cost not recorded as overhead. The majority of the country missions are 100% funded by projects. At the same time IOM is decentralised and heavily depend on project initiatives from the country level. Formally speaking there is no time available at country level for general administration, cooperation and liaison with the government, donors and partners or for development of new project proposals. To some extent such activities can legitimately be carried out within projects. According to interviews IOM's staff is also generally speaking working hard, using more than office hours when needed. It is also a fact that the regional offices have staff resources to assist country missions in project development. However, it is obvious that IOM to some extent use time financed by projects for activities not related to the projects. According to IOM it is a question of limited time, and no donor has complained over the practice. There is a view that on average each project, in the end, more or less covers its own costs.

Our view is that the current system with additional costs covered by the projects not can be considered to follow best practice

### 3 Humanitarian Reform, Coordination and Principles for Humanitarian Assistance

Based on UN General Assembly resolution 46/182 (1991) IOM's membership in IASC and the active support and participation in the Humanitarian Reform, has established the organisation as a partner in the UN coordinated system for humanitarian emergency assistance. IOM contributes to, endorses and follows the policies, principles and standards developed in the system for UN coordinated humanitarian assistance by the Inter-Agency Standing Committee and the cluster groups. Such documents are made easily available for IOM's staff through the intranet. IOM has not found the need for a definition of humanitarian assistance in IOM's operations and does not have an internal updated strategy or policy or any updated manual for emergency response and/or humanitarian assistance. In the absence of such an internal policy it is not clear if, in activities outside the coordinated humanitarian emergency assistance, IOM commits itself to the same standards. Internally in IOM, there is a clear willingness to further develop the institutional capacity for emergency response.

#### 3.1 IASC and the Humanitarian Reform

The Inter-Agency Standing Committee (IASC), established in June 1992 in response to UN General Assembly Resolution 46/182, seeks to strengthen humanitarian assistance. The IASC is a forum for coordination, policy development and decision making involving key UN humanitarian agencies, IOM, the Red Cross Movements and NGOs. The IASC is chaired by OCHA and has the following objectives:



- To develop and agree on system-wide humanitarian policies
- To allocate responsibilities among agencies in humanitarian programmes
- To develop and agree on a common ethical framework for all humanitarian activities
- To advocate for common humanitarian principles to parties outside the IASC
- To identify areas where gaps in mandates or lack of operational capacity exist
- To resolve disputes or disagreement about and between humanitarian agencies on system-wide humanitarian issues.

Membership of the IASC is open to all operational UN organisations with a standing invitation to the International Committee of the Red Cross, the International Federation of Red Cross and Red Crescent Societies, and the International Organization for Migration. Humanitarian NGOs are also represented in IASC through three consortiums. At the field level, the cooperation in IASC corresponds to the UN Humanitarian Country Teams – a replacement of the traditional “UN Country Team”. These teams also incorporate non-UN actors.

The Humanitarian Reform was an initiative of IASC and was a response to the recommendations in the *Humanitarian Response Review* (August 2005) commissioned by the United Nations Emergency Relief Coordinator & Under-Secretary-General for Humanitarian Affairs, OCHA. Major issues raised by the review were the need for improved coordination and the low level of preparedness of the humanitarian organisations, in terms of human resources and sector capacities. Our understanding is that the Humanitarian Reform has had a great impact on improving the cooperation and coordination in the area of humanitarian assistance on a global level as well as in the field.

#### **Humanitarian Response Review August 2005 – a few issues of relevance for IOM**

##### **Mixed performance and need for improvement of collaboration**

The review was planned to assess the humanitarian response capacities of the UN, NGOs, Red Cross/Red Crescent Movement and other key humanitarian actors including IOM, map the gaps, and make recommendations to address them. The review showed a tendency that the performance of the Red Cross/Red Crescent movement consistently was assessed as good among donors to very good in terms of quality, quantity and speed. For the UN agencies, IOM and NGOs the perception was more mixed, according to the few donors answering the question. The study also concluded that the three international humanitarian networks examined (UN, Red Cross/Red Crescent Movement and NGOs), as well as the IOM, remained vertical to each other within each network and collaboration between the networks needs to be considerably improved. (Page 9, 21)

##### **A major challenge: ensure that the accountability agenda is driven by the humanitarian principles and the needs of the beneficiaries**

“Humanitarian organizations and donors acknowledge that the humanitarian response provided is not good enough and that remedial action is needed and a number of initiatives are currently being taken to address this. Such initiatives focus on accountability to direct beneficiaries, donors and taxpayers, national or local authorities, as well as to governing bodies of the humanitarian organizations. The major challenges are to reconcile different, sometimes contradictory imperatives, to define the appropriate limits of accountability and to ensure that the accountability agenda is driven by the humanitarian principles and the needs of the beneficiaries.” (Page 9)

##### **Among other things the reviewed showed the need for improvement in camp management:**

“Almost all recent operations have disclosed a weakness in the sector of camp management. Currently, there is a lack of a clear sense of ownership for the broader aspects of working with displaced populations in camp situations. The levels of training in site placement, construction of shelters and choice of shelter material vary greatly. Consequently, the task of camp management suffers from a lack of direction and NGOs end up assuming responsibility for activities beyond their competence. The sector needs to be strengthened in relation to standards and general expectations, and agencies should recognize that this sector is essential in almost all international emergencies.” (Page 10)

Because of identified gaps in humanitarian response, the UN Emergency Relief Coordinator, through OCHA, introduced the recommendations of the Review by setting out an agenda for reform in September 2005. The *Humanitarian Reform* seeks to improve the effectiveness of humanitarian response by ensuring greater predictability, accountability and partnership. It is an effort by the international humanitarian community to reach more beneficiaries in a more effective and timely manner. The reform is structured in 3 pillars based on a foundation of strengthened partnership. The pillars are:

## Three Pillars of Reform and the foundation



Source: Power Point slides from the Humanitarian Reform Support Unit, OCHA

1. The Humanitarian Coordination System. The idea is to strengthen coordination between UN and non UN organisations and to reinforce the capacity, leadership and field coordination skills of the Humanitarian Coordinators on the ground.
2. Humanitarian Financing, including the Central Emergency Response Fund (CERF). This fund allows for the setting up of operations for new emergencies and allows for under-funded programmes to have access to money within a 72 hour period.<sup>6</sup>
3. The Cluster Approach. One organisation takes on the responsibility to lead the overall humanitarian response in one of the gap areas. Lead agencies were assigned for 9 gap areas based on their capacity and expertise in the particular area (later increased to 11 areas)

| Cluster                       | Lead      | IOM in-volvement       |
|-------------------------------|-----------|------------------------|
| Agriculture                   | FAO       |                        |
| Camp Coordination/Management  | UNHCR/IOM | Lead natural disasters |
| Early Recovery                | UNDP      | Member                 |
| Education                     | UNICEF    | –                      |
| Emergency Shelter             | UNHCR     | Member                 |
| Emergency Tele-communications | OCHA      |                        |
| Health                        | WHO       | Member                 |
| Logistics                     | WFP       | Member                 |
| Nutrition                     | UNICEF    |                        |
| Protection                    | UNHCR     | Member                 |
| Water, Sanitation and Hygiene | UNICEF    |                        |

<sup>6</sup> The Central Emergency Revolving Fund (CERF) was established in 1997 as a complementary instrument to the reserve and other contingency funding arrangements of UN operational agencies and IOM. It is meant to ensure the provision of adequate resources for use in the critical initial phases of emergencies that require a system-wide response. CERF has a target ceiling of \$50 million and functions as a loan mechanism. Advances are reimbursed by the voluntary contributions received by the organisations in response to consolidated appeals. CERF is managed, by the Under-Secretary-General for Humanitarian Affairs/Emergency Relief Coordinator, OCHA, under the overall authority of the Secretary-General.

The Cluster Approach has been endorsed by IASC. The global cluster leads are “accountable to the Emergency Relief Coordinator, OCHA, for ensuring predictable and effective inter-agency preparedness and response within the concerned areas of activity”. The above entails the very important element of accountability and, where necessary, the lead agency becomes the provider of last resort.

IOM has played a substantial role in the Cluster Approach assisting in the start-up of many of the clusters as well as developing the cluster strategies. At the Global level IOM is the *lead of Camp Co-ordination and Camp Management (CCCM)* in natural disaster situations and co-lead the CCCM cluster group together with UNHCR. IOM also actively participates in five other clusters, see text box above.

According to our interviews within OCHA, IOM is considered to have made greater efforts to implement the intention within the reform agenda more actively than some UN agencies. The different types of organisations in IASC – the UN agencies, the humanitarian NGO’s and IOM – have different foundations and characteristics. This makes debate commonplace and sometimes leads to differences in perspectives and opinions. In our interviews within OCHA IOM’s special characteristics have been considered to be an advantage for the system of coordinated emergency humanitarian response as a whole. It has been noted though, that the “projectization” of IOM has put pressure on the degree of IOM’s involvement in the work within IASC and the cluster approach. Up to the end of 2008, IOM has had project financing through OCHA funding appeals for some of these engagements on the global level, including IOM’s leading role in the CCCM cluster. From 2009 the different organisations are expected to mainstream their engagement in the cluster approach. IOM is currently preparing a project proposal for appeals for funding of these activities. If not supported by donors, the level of IOM’s engagement in the cluster approach on the global level is at risk.

According to IASC guidance for the Implementing the Collaborative Response to Situations of Internal Displacement (page 9), UN Humanitarian and/or Resident Coordinators should act in full consultation with the Country Team and should ensure that those operational agencies which have assumed responsibility for identified activities (which may include advocacy in specific areas) are given full support. The Country Team should include international organisations such as IOM and relevant NGOs in the country to reflect IASC membership and should consult with the International Red Cross and Red Crescent Movement. In 2007 IOM conducted a poll about the relationship between IOM and UN country teams. Over 95% of the about 100 country missions that replied had been welcomed by UN in the country teams when they sought to participate. In countries where the humanitarian needs are the overriding ones the cooperation in the country teams has been easier, due to the membership in IASC, the cluster approach and traditional links with partner humanitarian agencies like UNHCR. According to our interviews within IOM, IOM actively participates in all Humanitarian Country Teams and almost all of the UN Country Teams in other countries.

With the exception of offices with a regional function or special liaison offices, most of IOM Country Missions do not have any resources whatsoever except financing through the projects. This puts a pressure on, for example, coordinating activities when these can not clearly be carried out as an activity within on-going projects.

The IASC has agreed that the cluster approach should be the framework for response in major new emergencies and that it should eventually be applied in all countries with Humanitarian Coordinators. In terms of how to introduce the cluster approach at the country level, the IASC has agreed that this should be a field-driven process. As of 8 May 2008, 15 of 26 countries with a UN Humanitarian Coordinator have formally adopted the cluster approach, with another 8 countries having used it in emergency situations, see text box.



| <b>Countries with UN Humanitarian Coordinators</b>     |                                                                | <b>Countries with UN Resident Co-ordinators having used the cluster approach in emergencies (8)</b> |
|--------------------------------------------------------|----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <b>Formally implementing the cluster approach (15)</b> | <b>Not yet formally implementing the cluster approach (11)</b> |                                                                                                     |
| Central African Republic                               | Afghanistan                                                    | Bangladesh                                                                                          |
| Chad                                                   | Burundi                                                        | Dominican Republic                                                                                  |
| Colombia                                               | Eritrea                                                        | Ecuador                                                                                             |
| Cote d'Ivoire                                          | Haiti                                                          | Lebanon                                                                                             |
| DR of the Congo                                        | Iraq                                                           | Madagascar                                                                                          |
| Ethiopia                                               | Nepal                                                          | Mozambique                                                                                          |
| Guinea                                                 | Niger                                                          | Philippines                                                                                         |
| Indonesia <sup>7</sup>                                 | Occ. Palestinian Territ.                                       | Tajikistan                                                                                          |
| Kenya                                                  | Sri Lanka                                                      |                                                                                                     |
| Liberia                                                | Sudan                                                          |                                                                                                     |
| Myanmar                                                | Timor-Leste                                                    |                                                                                                     |
| Pakistan                                               |                                                                |                                                                                                     |
| Somalia                                                |                                                                |                                                                                                     |
| Uganda                                                 |                                                                |                                                                                                     |
| Zimbabwe                                               |                                                                |                                                                                                     |

*As of 8 May 2008, Cluster Implementation Plan for 2008, IASC Task Team*

*Source: Information Sheet – IOM and the Cluster Approach*

It has been agreed that the role of cluster lead at the global level should not necessarily correspond to a position as cluster lead on the country level. Instead the organisation best positioned to take a cluster-leading role on the country level should do so. IOM has, on a country level, taken active roles in the clusters both as partner and lead. Examples of a lead role for IOM are in Pakistan (Emergency Shelter), Colombia (Early Recovery with UNDP), Timor Leste (CCCM), Ethiopia (CCCM), Philippines (CCCM and Protection with UNICEF-children) and has played an active role in Uganda, Yogyakarta and Mozambique.

<sup>7</sup> Indonesia is the only country which has no regular ongoing humanitarian operation but which nevertheless has a Humanitarian Coordinator. This is because Indonesia is a large disaster-prone country which has experienced several large humanitarian operations and which has as a result developed a significant humanitarian response capacity. Indonesia has already used the cluster approach in responding to a humanitarian emergency (in Yogyakarta) and the HC has agreed that the cluster approach will be used in any future major humanitarian emergencies.

The box below summarises IOM's view on the cluster approach on the global and country levels.

The **CLUSTER APPROACH** is a *commitment undertaken by IOM* that enhances IOM's ability to assist and protect all beneficiaries and particularly promotes the collaboration between partners assisting internally displaced persons (IDPs). IOM sees this as an opportunity to strengthen existing operations with better capacity and tools, whilst playing an important role in the Humanitarian Country Teams (CT).

The cluster approach focuses on two levels:

#### GLOBAL LEVEL

The Global Clusters focus on preparedness and standard setting. The general responsibility and accountability of the Global Cluster Leads, entails:

- 1) Preparedness for response for new crisis and certain current crisis;
- 2) Capacity Assessment and developing capacity within the cluster;
- 3) Commitments to contribute to these functions
- 4) Mechanisms for delivering on commitments.

All members of specific clusters will have a role in the advancement of the cluster. The development and enhanced of partnerships at the global level is a key element of the cluster approach which directly impacts the field responses.

The work carried about by the Global Clusters are intended to provide the field based clusters better tools and guidance to provide better assistance and protection to the beneficiaries.

#### COUNTRY LEVEL

The Country Level Clusters are both an operational and coordination mechanism. They ensure that standards, set by the global cluster, are met and gaps are filled in particular crises. Either a cluster lead or a cluster member, IOM will carry out operations in support of the coordinated strategic sectoral response.

**Flexibility** is key in the application of the cluster approach at the country level. In principle, the cluster leadership approach should be applied to all areas, but this should be tailored to specific country circumstances.

Experiences in Pakistan or Philippines have shown that country clusters may not necessarily replicate the global clusters and that cluster leads at country level do not have to correspond to global cluster leads. What is important, is that country-level clusters address all the key gaps in humanitarian response in that particular country and that IOM is able to respond both in a leadership role and with its strong operational ability.

## 3.2 IOM's Policy and Strategy

IOM has not found a need to clearly define “humanitarian assistance” as a concept in its operations or to even categorise its operations in those terms. Consequently there is no policy or strategy specifically addressing humanitarian assistance. IOM's activities in emergencies and post crisis are mainly related to internally displaced persons. In 2002 *Internally Displaced Persons – IOM Policy and Activities* was presented to IOM's Executive Council. Our interpretation of the document is that it is more of a description of what IOM does related to IDPs than a document guiding *what and how* things *should* be done.

There are three important exceptions to this. It is explicitly stated in the policy that:

- IOM promote and respect the *United Nations Guiding Principles on Internal Displacement*. It is stated that the Guiding Principles “...provide a practical tool for implementation and should be closely followed in all programmes benefiting IDPs, and all attempts to address the issue of displacement.” In our interviews these principles has been described as “the bible” for IOM's work with IDPs.
- IOM is committed to close cooperation with UN agencies and other international actors, including NGOs. It is stated that the coordination among international organisations is “...essential to effectively address the needs of those persons [IDPs], without gaps in assistance or overlapping activities.”
- IOM's contributions towards the solution of the problems affecting internally displaced persons covers a range of services and include assistance to States as well as to individual persons, see further section 4.

The same year (2002) an overview of the emergency and post-conflict response 1990–2001, as well as a document detailing the role of IOM in emergency and post-conflict situations, were presented to the Executive Council and the Emergency Operations Manual was updated. We have also been informed that in 2000 IOM made a thematic internal evaluation of IOM's emergency response. The evaluation was, however, never endorsed by the Director General and is only available for internal use.

IOM's *IDPs Operations Guide 2006 – Internal Displacement CD* is a compilation of a variety of reference materials, guidelines and policies on internal displacement produced by actors in the international

arena. It was distributed to field offices to assist in greater understanding of the issues and build the capacity of field missions by providing IOM's staff the key information to facilitate research and/or to develop a project proposal. The CD is divided in four main sections: policies from IOM, IASC and donors, international Conventions, Activities – Assistance and Protection and background documents to increase the understanding of the area.

During 2007–2008 IOM has developed different information sheets describing IOM's activities in emergencies and post-crisis, including their participation in the cluster approach. We have also found internal drafts describing IOM's capabilities and Standard Operations Procedures in emergency.

The latest versions of IOM's policy, guidelines and other steering documents as well as updated versions of all IASC policy and guidelines, tools and guidelines from the clusters IOM participates in and other important tools and materials related to emergencies and post-crisis situations are easily available for IOM's staff through the organisation's intranet.

IOM has not found it possible, however, to develop an updated strategy and policy to emergencies response and post crisis situations and/or to humanitarian assistance after the start of the Humanitarian Reform 2005. Likewise, IOM has not found it possible to update the Emergency Operations Manual of 2002. However, IASC policy and guidelines as well as tools developed by the cluster groups are made easily available for IOM's staff through the intranet.

According to our interviews within EPC there is a great interest in the Humanitarian Reform and the cluster approach within IOM. Increasingly EPC is contacted by field missions for information, advice and training related to the Reform, see further Section 4.

### 3.3 Policy, Guidelines and Tools Endorse and Supported by IOM

#### **IASC policy and guidelines, examples**

Guidelines for HIV/AIDS interventions in emergency settings, Nov 2003

Guidance for CAP Project Selection and Prioritisation, June 2004

Implementing the Collaborative Response to Situations of Internal Displacement – Guidance for UN... Coordinators and Country Teams, Sep 2004

Guidelines for Gender-based Violence Interventions in Humanitarian Settings – Focusing on Prevention of and Response to Sexual Violence in Emergencies, Sep 2005

Strengthening the Humanitarian Coordinator's System: What is our goal and how do we get there? April 2006

Protecting Persons Affected By Natural Disasters, IASC Operational Guidelines on Human Rights and Natural Disasters, June 2006.

Guidelines for Flash Appeals, Oct 2006

Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response, Nov 2006

Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance, Nov 2007

IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings, 2007

Human Rights and Natural Disasters, Operational Guidelines and Field Manual, Pilot version March 2008

Policy Statement Gender Equality in Humanitarian Action, 20 June 2008

#### **Toolkits and Handbooks from the cluster groups, examples**

The Cluster Working Group on Early Recovery – Implementing Early Recovery, July 2006

The Camp Management Toolkit, May 2008,

Early Recovery: Compilation of Tools and Resources, June 2008

Handbook for the Protection of Internally Displaced People, Provisional Release, Dec 2007

IOM has signed up for and takes an active part in the Humanitarian Reform and the coordinated humanitarian assistance – which also means an acceptance of the framework provided through the mechanisms for coordinated humanitarian response. This was acknowledged in our interviews within OCHA. IASC produces guidelines, tools and documents endorsed by the IASC Working Group or IASC Principals to be used by humanitarian actors in field or policy work. These documents are formally endorsed by IOM in writing or sometimes by e-mail. IOM has also actively contributed to several of these documents. Through IOM's participation in six of the 11 clusters, IOM contributes to and explicitly supports the tools and guidelines produced within these clusters. At the same time we have been informed that there is a debate within the inter-agency cooperation about to what extent these policy and guidelines are binding.

Neither IOM nor the UN agencies have signed the Red Cross Code of Conduct, endorsed by the Standing Committee for Humanitarian Response (SCHR) as the Code of Conduct for NGOs in Disaster Relief. The guidelines in the Code of Conduct are presented for guidance. They are not legally binding, nor do the sponsoring NGOs expect governments and inter-governmental organisations to indicate their acceptance of the guidelines through the signature of any document, although this may be a goal to work to in the future.

In our understanding, the practical implication and implementation of the humanitarian principles in a given context is not always entirely clear. At the same time they give guidance and can influence how organisations and staff act and behave. We have been informed that a discussion has started within IASC about the “humanitarian space” and the interpretation of the humanitarian principles. According to our interviews within OCHA, the members of IASC have varying interpretations of these principles. This development may lead to increased clarity on the interpretation of the humanitarian principles and transformation of them into practical guidelines, for IOM as well as for other organisations.

We have not found any reason to question IOM's commitment to follow the general principles, policies and standards developed within the framework for UN coordinated humanitarian emergency assistance. IOM's commitment to these standards is clear in projects developed and coordinated through the system for coordinated humanitarian emergency assistance, with Flash Appeals and proposals developed in the Consolidated Appeals Process (CAPs). In other projects there is no clear IOM policy for when the same standards and principles as in the coordinated system will be followed. Obviously IOM also delivers humanitarian assistance outside the framework of the UN coordinated humanitarian response; for example in the previously mentioned Australian-funded camps at Papua New Guinea and Nauru for asylum seekers where Australia refused to let asylum seekers ashore from boats. It is likewise obvious that IOM provides other services that may include elements of assisting people without being of the same character as what is generally referred to as “Humanitarian Assistance in Emergencies”. An example of this would be in assisting stranded migrants or counter-trafficking projects. We are aware that there may be clear statements in individual projects on which standards and principles that will be applied. However in the absence of a clear overarching policy and strategy for “Emergency and Post Crises” or for “Humanitarian Assistance”, it is unclear to us when and if the same standards and principles as in the coordinated humanitarian response are being followed.

In countries with a history of emergencies, IOM has staff with experience of emergency situations and with firm knowledge of systems for coordinated humanitarian assistance and the principles and standards it is based on. Generally speaking this is the case for the 26 countries with a UN Humanitarian Coordinator. In other countries IOM's staff may not have a lot of experience of emergencies or of the principles and standards for humanitarian assistance. Thus, IOM may have a capacity problem for emergencies even when the organisation is present in a country. In emergency situations IOM tries to solve such problems by using emergency experts from the regional office or from other countries.

IOM's Emergency Operations Manual states:

*“Assistance and protection must be impartial. Emergency action includes both assistance and protection. These should be provided in accordance with International Law, which includes International Humanitarian Law, International Refugee Law, International Human Rights Law (especially the Universal Declaration of Human Rights and the Convention on the Rights of the Child) and recognised standards such as the Guiding Principles on Internal Displacement. The principle of impartiality means that emergency assistance and protection should be provided to victims irrespective of race, creed or nationality, in an impartial and neutral manner.”*

*IOM's Emergency Operations Manual, page XIV–XV*

IOM has also addressed the humanitarian principles in internal training related to the Humanitarian Reform. Even so, we have not seen any discussion on the potential conflict between the perspectives elaborated in the IOM policy on IDPs – the role of providing services to the host government to manage IDP situations – and the role of providing emergency assistance to individuals.

The humanitarian principle of *Independence*

*“meaning the autonomy of humanitarian objectives from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented”*

*Source: Principles And Good Practice Of Humanitarian Donorship*

In IOM's training materials Independence is explained as follows:

*“Independence. This principles means that humanitarian agencies need to be independent from political influences. Humanitarian agencies must formulate and implement their own policies independently of government policies or actions. Independence is a key pillar of humanitarian action embedded in the international humanitarian law, and also reflected in the fourth principle of the NGO/RC/RC Code of Conduct.”*

The materials also states that the principles contain ambiguities that only can be resolved by a thorough analysis of the context. The example given is that the relation between governments and disaster response organisations will depend on the context, if it is a civil war where government is a belligerent or if it is a natural disaster where government is coordinating. There is no deeper analysis of what the principles specifically means for IOM or if there are any areas of conflicts or tensions that need to be observed.

### **3.4 Emergency and Post Crisis Activities in a Development Process**

In our interviews within IOM it has been clear that there is a willingness to take action to further strengthen IOM's activities in emergencies and post-crisis. The Inspector General was of the opinion that it would be reasonable to make an internal thematic evaluation of the emergency assistance as basis for learning and further improvement of IOM's services in this area. The Director of the Operational department, responsible for the area of Emergency and Post Crisis, was of the opinion that IOM had embarked on the journey of increased capacity and predictability in emergency response. At the same time it was obvious that the emergency professionals see a need to maintain and further strengthen IOM's institutional capacity for emergency response— see the box below.



### **An internal view of the development of IOM's emergency assistance**

As mentioned to you IOM is member of the IASC and it has been my (and that of other colleagues whose institutional role is to support this, notably the External Relation and the Permanent Observer in NYC) utmost effort to make our work in coordination and consistent with that of the UN colleagues and NGO partners within the broader framework of the UN Country Teams and finally that of the Cluster system where we participate and with whom we share common standards.

I dare say that IOM participation has reached a level of predictability that has greatly increased our credibility in joint efforts. I trust that this is now recognized by donors and partners alike. Indeed we have moved from a 'reactive' mode to a proactive and participative mode, increasingly relying on preparedness and standards rather than the strictly response.

It is indeed through the cluster system development and the support we have received from the donors that we have been able to transform our emergency service in the past rather akin to that of the 'firemen' to one that can rely on systemic resources. Through the cluster we have been able to develop targeted training modules and extend the number of colleagues who possess sufficient competence to support our participation in interventions in several regions and further developed and refined our management tools.

This is certainly indispensable to be able to properly respond to the calls for our intervention in so many member countries and in line with the engagements the Organization has taken when subscribing to the cluster system and supporting the UN reform process (indeed I dare say that the closer point of contact between IOM and the UN family takes place in the humanitarian field). However if no further resources (namely at the end of the present external funding) will be dedicated to this the present capacity will be soon obsolete and insufficient.

As apparent from the figures we have provided all this work has had the result of a steady growth in the humanitarian field and we must have a certain level of success as it keeps growing and the donors show support. Much to my regret though I have been unable to obtain a level of investment in the service that I deem indispensable for consolidating all the work done so far and make sure to remain faithful to the commitments made in retain all common standards. I believe that a revision (meaning an updating of the IOM policy for emergency interventions) is necessary and that a modicum of investment in human resources not related solely to project implementation (thus projectized) is indispensable to guarantee the level of planning expected of us.

*Pasquale Lupoli, Director Operations Department*

We also believe it to be important that IOM formulates and implements their own policy for humanitarian assistance independently from government policies or actions. The statement in IOM's constitution that IOM "...in carrying out its functions, shall conform to the laws, regulations and policies of the States concerned" further underlines this need for clarity. It seems natural that such a policy will build on point 9 in IOM's strategy:

*"9. To participate in coordinated humanitarian responses in the context of inter-agency arrangements in this field and to provide migration services in other emergency or post-crisis situations as appropriate and as relates to the needs of individuals, thereby contributing to their protection.\**

*\* Although IOM has no legal protection mandate, the fact remains that its activities contribute to protecting human rights, having the effect, or consequence, of protecting persons involved in migration."*

An alternative would be to choose a more comprehensive approach to IOM's operations in Emergencies and Post Crisis. In either case, we would from a humanitarian Sida-perspective expect such a policy to address and guide for example:

- IOM's role, responsibilities, coordination and activities in IASC and the clusters on the global level
- IOM's role, responsibilities, coordination and activities on the country level in UN Humanitarian Country Teams and other UN Country Teams, including coordination or consultations regarding IOM's activities outside the coordinated humanitarian response.

- IOM's commitment to build response capacity through investments and mechanisms for fast deployment, a strategic approach to build capacity by further development of the emergency roster, increased flexibility for emergency experts and increased competence through emergency related training
- IOM's commitment to the following policies and principles for coordinated humanitarian assistance and in what circumstances or projects IOM commit itself to follow the same principles and standards out of the coordinated emergency response.
- Potential situations of conflict or tension between IOM's humanitarian assistance and other projects in close cooperation with host governments or specific donor governments or organisations.
- Improved systems for endorsement of IOM's projects in emergencies and post-crisis, by establishment of clear criteria for endorsement and by making endorsement by EPC mandatory for all IOM projects in countries with on-going emergencies or post crisis situations.
- IOM's focus, core strengths and comparative advantages in the area covered by the policy.
- IOM's approach to sustainability in emergency assistance, for example the use of local NGO's and issues of capacity building and exit strategies. Since IOM may have a role during emergencies, transition, development and normal conditions in a country it is important to clarify how each IOM project has a perspective of building capacity to enable exit.

## 4 IOM's Capabilities and Comparative Advantages for Humanitarian Assistance

The Emergency and Post Crisis Division (EPC) and the Migration Health Department (MHD) are the main units professionally responsible for IOM's activities in emergencies and post-crisis. We have noticed that EPC has no formally established criteria from endorsement of projects and there is no clear mechanism at headquarters to ensure that there is no conflict between ongoing IOM humanitarian assistance and other projects in the same country. It is surprising that there is no significant increase in the resources at the headquarter level to steer, support and further develop IOM's activities in humanitarian assistance in emergencies and post-crisis, despite of increased operations and responsibilities. We believe that IOM's expansion and diversification has contributed to a situation where the resources for central administration have become too thinly spread out over a too large an area of operations. It is very difficult for both the units to have a strategic approach and systematically build staff capacity for emergencies and post crisis operations.

IOM has access to an expert roster for emergency and post-crisis, flexibility among its international staff, systems for emergency funding and equipment. We have not in this study been able to assess these mechanisms in terms of appropriateness and sufficiency for preparedness for emergency crisis.

### 4.1 The Emergency and Post Crisis Division and the Migration Health Department

Formalised in January 2000 as the focal point in IOM for migration emergency preparedness and response, the Emergency and Post Crisis Division (EPC) under the Operations Support Department coordinates, supports and assists IOM's response to migration emergencies, such as population displacement, large-scale evacuations, return and reintegration. As such, the core element of IOM's emergency and post crisis interventions is migration management, often but not limited to transportation assistance. In close consultation with the relevant IOM headquarter units, EPC:



- Initiates contingency planning for IOM; acts as IOM's early warning instrument for emerging humanitarian crises for which it also undertakes rapid assessment missions, and assists with project development;
- Prepares and coordinates the rapid deployment of human and material resources;
- Coordinates appropriate and collaborative needs assessment and assistance to IDPs;
- Supports Disarmament, Demobilization and Reintegration (DDR) activities, including Security Sector Reform;
- Contributes to the stabilization, transition initiatives and durable solutions (return and reintegration) of affected communities.
- Liaise and coordinates with other partners, providing technical support in the development and mainstreaming of civil-military coordination, the Cluster approach and the partnership with the private sector.

The IOM Migration Health Department (MHD) is responsible for the development, endorsement and technical oversight of health related activities in the context of emergencies as well as for the recruitment, supervision and training of technical staff. MHD staff coordinate and liaise with relevant partners at field and headquarter level, especially with respect to the health cluster work.

The system for project selection, endorsement and management is described in Annex V. We have noticed that EPC does not have any formally agreed criteria for assessments to be done before endorsement of projects. Being a small unit, staff have easy access to each other and can discuss issues when needed. The different backgrounds and skills, together with the absence of clear criteria based on a strategy, means a risk for a lack of coherence in endorsement of EPC projects. We have also noticed that IOM's projects in emergencies and post crisis situations can be endorsed by different departments, depending on the nature of the project. While MHD also work in the framework of the UN coordinated humanitarian assistance this is normally not the case for the Department of Migration Services. We believe that it would be appropriate that projects endorsed by other departments also should be endorsed by EPC if they take place in countries with on-going emergency and post-crisis operations. This could be a way to reduce the risk for conflicts between humanitarian assistance and other commitments for IOM in the same country.

As has been shown in Section 1 it is, for different reasons, not easy to establish precisely how the volume of humanitarian assistance has developed over the years. According to our interviews, however, there has been a large increase in IOM's emergency response, and also in post crisis activities. At the same time IOM has significantly increased the efforts and resources used for inter-agency coordination and cooperation – in particular since the Humanitarian Reform with the cluster approach. While IOM's involvement in the cluster for Health is administered by MHD, IOM's participation in the five other clusters is administered by EPC, including the leading role for Camp Coordination and Camp Management in natural disasters. In IASC Working Group, IOM is represented by the Director of Operations and the Director of External Relations.

Despite these changes, the resources allocated for EPC have remained more or less the same the last decade, and are in fact less stable now than they were in the beginning of the Millennium. In 2000 EPC had 5 staff financed by the administrative budget, one assistant and four officials. Since 2004 there is only the Head of EPC and an assistant financed by the administrative budget. Additionally three officials are currently financed by discretionary income, but will be reduced to two because of temporary funding arrangements. There has also been one financed by a project for the cluster approach – funding that now needs to be secured for the coming year if EPC shall be able to maintain this capacity, see Table 8.

**Table 8 Number of staff in EPC 2000–2009**

|                                                        | Up to 2000 | 2000–2003 | 2004–2008 | 2009–?? |
|--------------------------------------------------------|------------|-----------|-----------|---------|
| Assistant administrative budget                        | 1          | 1         | 1         | 1       |
| Total number of officials                              | 2          | 4         | 5         | 3??     |
| – on the administrative budget                         | 2          | 4         | 1         | 1       |
| – on discretionary income (stable)                     | –          | –         | 2         | 2       |
| – on project funding or temporary discretionary income | –          | –         | 2         | ??      |

It is not our task to advise IOM on how to find financial resources to strengthen the ambitions of IOM in the field of humanitarian assistance. It is surprising, however, that during a period when IOM's activities in emergency and post crisis have increased rapidly, and in which IOM has made commitments to take an active part in the Humanitarian Reform and work in the clusters, we cannot find any significant increase in the resources at the headquarter level to steer, support and further develop these IOM activities. Obviously the restrictions from member states regarding increases of the administrative budget and discretionary income are important factors contributing to this situation. We would argue, however, that it is the combination of these restriction and IOM's rapid intentional expansion and diversification that have caused the resources that can be used for a central administration to be too thinly spread out over a too large an area of operations.

## 4.2 Training for Emergencies and Post Crisis

**Table 9 Number of IOM staff in training and workshops related to the professional area of emergency and post crisis\***

|                                          | 2007       | 2008**     |
|------------------------------------------|------------|------------|
| <b>Total</b>                             | <b>200</b> | <b>144</b> |
| <b>Total external training</b>           | <b>39</b>  | <b>32</b>  |
| Sector specific                          | 2          | 6          |
| Inter-Agency related                     | 37         | 26         |
| – CIMIC + DDR                            | 18         | 17         |
| – CCCM, logistic, clusters, coordination | 19         | 9          |
| <b>Total internal training</b>           | <b>134</b> | <b>102</b> |
| Internal IDP-Cluster Training            | 72         | 88         |
| Internal country/region specific CCCM    | 50         | 14         |
| UNHCR/IOM Modules development            | 12         |            |
| <b>Total workshops</b>                   | <b>27</b>  | <b>10</b>  |

\* IOM's generic internal training in for ex. Project management and training of Mission Heads is not included

\*\* Up to August 2008. A planned internal course "IDP-Cluster Training with 27 participants has also been included

EPC has developed a training programme related to the Humanitarian Reform and the cluster approach in which 133 staff members have participated. The participants have been selected so that core staff should have the necessary knowledge, even if it has not been possible for EPC to provide the training on a large scale. In the last training IOM received more than 100 applications for this training programme, but was only able to admit 27 participants. In addition, country or region specific training has been delivered in Camp Coordination and Camp Management for additional 74 staff members in Zimbabwe, Jordan/Iraq, Panama and Timor Leste. These two cluster-related training programmes have been fully financed through headquarters by the project funding EPC's participation in the cluster work

on the global level. EPC requests for additional funding from discretionary income have not been approved within IOM. Recently, it has been accepted to include a module on the Humanitarian Reform in the generic training for Heads of Country Missions, which is fully financed by the headquarters.

With these exceptions, most Country Missions cannot send staff on training in the professional area of emergency and post crisis unless it is fully financed by an external actor or there is an on-going project that can finance trips and allowances. Also for IOM's generic training, for example in project management, Country Missions need to find project funding to cover some of the costs (allowances).<sup>8</sup>

Health staff are trained through courses offered by renowned institutions, in particular through HELP courses and the WHO pre deployment training, organized by the WHO /HAC (Health Action in Crisis) division.

Based on our analysis of the specific financial constraints we understand that it is very difficult for EPC as well as for MHD to have a strategic approach and systematically build staff capacity for emergencies and post crisis operations.

### **4.3 Expert Roster, Funding and Materials**

The last years IOM has further developed its response capacity by improving its system with a roster for emergency and post crisis operations. The roster is used as a source for finding personnel in emergencies, but also as a tool for identifying training needs in emergency specific issues and for selection of staff for training. IOM's staff has been able to report their interest to be part of the roster. Before anyone is admitted to training, however, they are required to make a statement of availability in emergencies that should also be signed by the Head of the Country Mission. The roster currently includes approx. 300 persons, mainly IOM's staff with experiences of emergency situations or an interest in assisting in such situations. The roster also covers some external personnel, in particular persons that previously have worked with IOM.

The Emergency and Post Crisis division has a wide range of activities and programs. The EPC Experts Roster identifies candidates with experience in Civil Military Coordination (CIMIC), Internally Displaced Persons (IDP), and Cluster Coordination such as Shelter, Protection, Logistics, Health, and Transitional Programmes/Early Recovery. Field experience, Media experience, and Assessment/Design/Evaluation experience is also identified by the roster. Rather detailed information about the experts is registered in the Roster; their experiences and areas of expertise in the structure relevant for EPC operations, geographical experiences, language skills, training etc.

IOM also taps emergency capacity from some external sources through standby arrangements of external emergency personnel, e.g. Norwegian Refugee Council, Danish Refugee Council and DFID. Use of this personnel may be assumed by their governments to be in-kind contribution to IOM's emergency operations.

A common solution in emergencies is that IOM temporarily deploys one emergency expert to start to design and set up the assistance, this being someone already in place in the country or someone from the regional office or even from another of the IOM's offices around the world. This temporary solution gives EPC time to find and recruit experts through the emergency roster and other channels.

Like most organisations responding to emergency/post-conflict situations, IOM must often begin assistance when only partially funded. The demands for emergency assistance almost invariably come ahead of the mobilisation of resources to fund them. In response, IOM makes a considered judgement

---

<sup>8</sup> Missions with a regional function and special liaison mission may have some funding from the administrative budget or discretionary income that can be used for this purpose. A few country missions may also have their own discretionary income that can be used.

as to whether received and prospective funding together justifies launching programme activities. According to the decision by the UN General Assembly, IOM operations can be financed through the Central Emergency Response Fund (CERF), which is managed by OCHA. When little or no funding has been received, but looks likely, IOM can also draw on a variety of mechanisms to bridge the short-term funding gap: internally, its own Emergency Preparedness Account provides for advances up to USD 90,000 and the Rapid Response Transportation Fund permits the advance of funds against a request for transportation assistance from UNHCR.

IOM's *Emergency Preparedness Account (EPA)* was established in 1993. EPA is a loan against a specific operation and is used in circumstances where there is a clear need for emergency assessment and operation expenditures prior to actual receipt of external operational funding.

The *Rapid Response Transportation Fund (RRTF)* was established in December 2000. The RRTF will be considered for use, particularly during emergencies, where it is established that there is a clear need for immediate transportation expenditure prior to actual receipt of external funding. The eligibility for receiving an allocation from the RRTF closely follows the criteria contained in the Guidance Note on Cooperation between IOM and UNHCR in the Transportation Sector. UNHCR may request the assistance of IOM for transportation during voluntary repatriation, return movements, resettlement of refugees and, in specific cases, organised evacuation. Like EPA, use of RRTF is considered a loan against the operation and funds must be returned. Its activation can only be approved upon receipt of a written request from UNHCR.

IOM has external *standby arrangements for emergency resources* to be made available at short notice, e.g. vehicles and telecommunication equipment, emergency service packages and transport logistics equipment/facilities. Service packages of some entities may be assumed by their respective governments as in-kind contribution to IOM's emergency operations. IOM participates in the OCHA's MCDU/MCDA (military and civil defence unit/asset) meetings as well as in the WFP-led UNJLC (joint logistics centre). IOM also has an understanding with EMERCOM Russia for the use of their equipment and crew when needed. There are also several international and national NGOs that IOM has worked with in emergency situations in different countries.

*Emergency materials/equipment suppliers* Supplies, vehicles and equipment are requested through the unit for Common Services (COS) at headquarters or the Field Procurement Unit in Manila. They maintain a roster of emergency suppliers who can deliver goods, vehicles and equipment on short notice. In the past, EPC/COS stocked IT and telecom equipment, but since this equipment easily gets outdated, the practice has been stopped.

#### **4.4 IOM's View of its Comparative Advantages in Emergencies and Post Crisis Situations**

*"IOM's principal comparative advantage lies in combining the strength and recognition of an intergovernmental organization with unusual speed and flexibility of response. /.../*

*The core element of IOM's emergency and post-conflict interventions is migration management, often in the form of transportation assistance to people who need it. Providing efficient and safe transportation – by air, sea and land – has been at the heart of IOM's mandate since its foundation, and the Organization has developed a widely-recognized ability in this respect. Depending on the nature of the population to be assisted, pre-departure and post-arrival activities may be added to the transportation core in order to make the movements more humane, more durable, and more contributory to population stabilization. IOM has developed special expertise in the return and reintegration of IDPs and demobilized soldiers.*

*The ability to contact and survey displaced populations, either in their own countries or in diaspora, is an increasingly important comparative advantage for IOM. Such surveys are used, for example, to register populations for evacuation or return; to identify and match job skills and the interests of the diaspora with urgent needs for specialized expertise in the post-conflict reconstruction of their country; to identify the skills and desires of demobilized soldiers in order to train, return and reintegrate them more effectively into civilian life; to permit the participation of displaced populations, particularly diaspora, in elections; and to register IDPs and determine their wishes to return to specific locations.”*

*Source: Role of IOM in Emergency and Post-conflict Situations, 2002*

Even if this quote is a few years old, it shows many of IOM strong areas even if IOM today is more diversified. IOM's strength in transportation is not limited to transport of people, but include the full range of logistic support and distribution. Based on the activities actually carried out in IOM projects, (see section 1) direct assistance in emergencies and post-crisis focusing on camp management including provision of shelter and distribution of non-food items have become common activities. In these situations IOM may also provide complementary assistance activities, depending on the need and the presence and capacity of local or international organisations – such as livelihood, rehabilitation of infrastructure, livelihood and distribution of food.

To assist UN Humanitarian Coordinators and/or Resident Coordinators in determining the roles of different agencies within the collaborative response, IASC presented in 2004 an activities list which outlined the sorts of activities that a given agency, including IOM, might be able to undertake during a given phase of the displacement crisis – capacity and resources permitting. The list of activities referred to conflict situations. We asked IOM to update this activity list to cover services that IOM is typically able to undertake in emergency and post-crisis situations related to natural disasters and conflicts. This update is included below as Table 10. The main focus of the activities in the table is Internally Displaced Persons. IOM is fully committed to respect and implement the Guiding Principles on Internal Displacement. Thus, according to IOM all programmes should evolve and new interventions shall be prioritized according to the needs of the affected communities.

**Table 10 Services related to emergencies and post-crisis that according to IOM typically can be provided by the organisation, capacity and resources permitting**

| <b>International Organization for Migration</b>                                                      |                                                                                                                                                                                                                                                    |
|------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Phase</b>                                                                                         | <b>Activity</b>                                                                                                                                                                                                                                    |
| <b>Emergency Assistance Phase:</b><br>Immediate Disaster Relief                                      | Provide emergency assistance including managing camps, providing emergency shelter, distributing food and Non-Food Items (NFI), providing health assistance;                                                                                       |
|                                                                                                      | Medical evacuations of affected individuals within a country or abroad in case local health systems have been destroyed and/or cannot cope with a sudden increased demand for care                                                                 |
|                                                                                                      | Support/assist inter-agency contingency planning in emergencies;                                                                                                                                                                                   |
|                                                                                                      | Support national/local authorities in developing policies and programmes to reduce/prevent displacement and advocate for improved conditions for IDPs;                                                                                             |
|                                                                                                      | Assist in the relocation of IDPs from high risk to protected areas.                                                                                                                                                                                |
| <b>Emergency Assistance Phase:</b><br>Activities During Displacement                                 | Monitor evolving IDP situations, including protection & assistance concerns;                                                                                                                                                                       |
|                                                                                                      | Provide NFIs and food distribution;                                                                                                                                                                                                                |
|                                                                                                      | Information Management: collect & analyse IDP information, implement socio-economic/demographic surveys on displacement, IDP registration;                                                                                                         |
|                                                                                                      | Undertake needs assessment surveys amongst IDP & host populations to identify priority areas for implementing Health Programmes, in areas such as reproductive health, including HIV/AIDS, mother/child health, infectious diseases, immunization; |
|                                                                                                      | Rehabilitate or strengthen the capacity of local primary health care services to be able to deliver adequate services to meet the increased demands created by the displaced populations;                                                          |
|                                                                                                      | Assist in the establishment and management of mental health and psycho-social support programmes;                                                                                                                                                  |
|                                                                                                      | Provide advice/technical assistance for property restitution/compensation programmes;                                                                                                                                                              |
|                                                                                                      | Provide temporary shelter and later permanent housing for displaced;                                                                                                                                                                               |
|                                                                                                      | Information dissemination/ for IDPs.                                                                                                                                                                                                               |
| <b>Emergency Assistance Phase, Creating a Link to Community Stabilisation:</b><br>Return Preparation | Support and strengthen local authorities' capacity for population resettlement, stabilisation & socio-economic reinsertion of IDPs through community participation;                                                                                |
|                                                                                                      | Prepare movement plans, road reconnaissance, rapid rehabilitation of secondary access routes;                                                                                                                                                      |
|                                                                                                      | Assist IDPs for voluntary return to areas of origin or areas of choice organized based on IDP registrations and vulnerability criteria, if applicable;                                                                                             |
|                                                                                                      | Sensitize displaced and the communities (host/return) on return issues & provide them with assistance kits;                                                                                                                                        |
|                                                                                                      | Undertake health assessments, referral for treatment, movement assistance in providing medical escorts for most vulnerable;                                                                                                                        |
|                                                                                                      | Provide safe and dignified transport with IOM staff escorting trucks;                                                                                                                                                                              |
|                                                                                                      | Organize & operate transit centres for IDPs & refugee returnees that provide warm meals and safe accommodation in winterized shelters with potable water, sanitation facilities & health services in a secure compound.                            |



---

## International Organization for Migration

---

| Phase                                                                                     | Activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Community Stabilisation Framework:</b><br>Livelihood<br>Rehabilitation and Integration | <p>Assist vulnerable, excluded and minority groups (including women and demobilized soldiers) in reintegration;</p> <p>Provide community assistance, reintegration &amp; rehabilitation support to IDPs &amp; host communities, including assistance packages on return;</p> <p>Capacity building of local human resources for health and rehabilitation of primary health care services to assure continued access to health care for both IDPs and host communities to facilitate reintegration</p> <p>Support for regional stabilization of returns; micro-credit projects;</p> <p>Provide technical assistance for starting/expanding small enterprises &amp; cooperatives;</p> <p>Provide IDPs &amp; host communities &amp;/or returnees &amp; return communities with reintegration assistance, including re-training programmes &amp; rebuilding infrastructure;</p> <p>Support confidence &amp; peace-building measures &amp; reconciliation activities to create co-existence between communities to promote sustainable return &amp; reduce/eliminate future displacement: sensitisation of communities of absorption;</p> <p>Support and/or set up Demobilization and Reintegration programmes</p> |
| <b>Development Phase:</b><br>Capacity Building                                            | <p>Strengthen role and capacity of national authorities to address IDP needs including developing a migration tracking system;</p> <p>Implement workshops and training in conflict resolution, conciliatory efforts including the organization and development of productive processes and rehabilitation and construction of infrastructure;</p> <p>Implement capacity-building programmes with local and national levels such as training workshops on migration and human rights; integrated and community-led approaches in areas of income-generation, health, education, community stabilisation, social communication, and transitional housing.</p> <p>Advise and assist national authorities and other interested parties on the technical aspects and requirements of claims programmes that provide for property restitution/compensation to IDPs; help kick-start such programmes that address large-scale human rights abuses as part of a country's rehabilitation and reconciliatory efforts.</p>                                                                                                                                                                                              |
| <b>Development Phase:</b><br>Strengthening Political Rights                               | <p>Assist governments, electoral management bodies, IDP assistance organizations, civil society groups and other representatives of the International Community to improve the capacity of internally displaced populations to participate in political life of their countries and territories through their inclusion in electoral processes.</p> <p>Implement training which provides advice and guidance on the legal frameworks and procedural mechanisms that can best protect the voting rights of internally displaced electorates.</p> <p>Provide national and international stakeholders working in the fields of electoral programming and migrant services with assessments that identify problems for IDP enfranchisement and make recommendations on legislative and operational assistance and take coordinated action to address the electoral participation of IDPs.</p>                                                                                                                                                                                                                                                                                                                     |

**Logistical Support is a cross-cutting activity.** Logistical support is essential to IDP operations for both IOM itself as well as other partners throughout all phases of displacement. IOM transports essential relief items such as food, and non-food items on behalf of governments, other International Organizations and NGOs. IOM also helps transport relief workers when necessary. The facilitation of transportation between warehouses and bases of international organizations, NGOs and other recipients is critical to success of IDP responses.

IOM also assists with customs clearance, database management and tracking of relief items. Logistical support is also necessary for the safe and dignified return of IDPs. IOM provides logistical support for returns programmes and activities. This includes undertaking road assessments prior to return.

Source: Developed by IOM from Information Sheets – IOM assistance to IDPs

---



## 5 Efficiency and Effectiveness in IOM Humanitarian Assistance

### Points of departure

Office of the Inspector General (OIG) is the conceptual centre for evaluations of IOM's projects. There is a transparent list of evaluations carried out, divided into OIG evaluations, internal evaluations and external evaluations (the largest group). This list is constantly updated.

OIG is a rather small organisation, composed of 8 people, where one works with rapid projects assessments and one with evaluations. That means that IOM mainly depends on project funding for carrying out evaluations. Probably this explains the pre-dominant project focus of evaluations as separate for a more thematic focus. IOM however also make some thematic evaluations. Currently we were informed that there will be a thematic approach to assess IOM's activities in labour migration, as an instrument for conceptualise, focus and elaborate core services provided in this area. We have not found any thematic evaluation of emergency and post-crisis activities. As mentioned before such an evaluation was carried out year 2000, but since it never was endorsed by DG it is only available for internal use. We have been informed that one of the issues brought up was a need for IOM to focus more on core activities in its emergency response.

IOM's internal Project Development Handbook of January 2005 instructs IOM to design the project proposals in line with accepted standards such as an overall objective, project purpose, results, activities, inputs, assumptions, monitoring, reporting and evaluation, indicators and means of verification. The project design should be preceded by the justification for the project, project partners, the institutional framework as well as sustainability.

IOM's evaluation guidelines from January 2006 give a complete overview of different approaches and norms used in evaluations, including the OECD- DAC criteria. They also provide details on how evaluations should be planned, managed and conducted as well as giving formats and process suggestions for evaluations. These guidelines also stress the importance of projects being well designed from the beginning, to facilitate evaluations.

According to the external interviews conducted, the financiers are in general content with the quality of IOM's project design and reporting, even though some would expect IOM to be better on reporting on impact and longer term effects.

The quality of IOM's guiding documents is therefore on a high level. The challenge for IOM is to get the entire organisation to comply with this framework.

### Selected study of quality of evaluations

As part of this study we have selected in total 30 evaluations for scrutiny and especially looked at evaluations of projects that are humanitarian in nature.

Firstly it is not difficult to state that the evaluations studied have been done in a competent manner in general. However and as the evaluations have been steered by many different financiers, there is no dominant format for evaluations and no common approach. IOM, through OIG, does not favour any common format either. Each evaluation stands on its own feet and it is quite difficult to see common denominators for tracking results.

As part of our investigation we selected to especially study how the criteria of effectiveness and efficiency has been applied, as these criteria are usually also applied outside the OECD- DAC world.

The OECD-DAC criteria defines the terms as:

- Efficiency measures the outputs – qualitative and quantitative – achieved as a result of inputs. This generally requires comparing alternative approaches to achieving an output, to see whether the most efficient approach has been used.
- Effectiveness measures the extent to which an activity achieves its purpose, or whether this can be expected to happen on the basis of the outputs. Implicit with the criterion of effectiveness is timeliness.

Our more critical observations are:

- When stating views on both efficiency and effectiveness, this is often not done on the basis of comparing the assessments with the project inputs and objectives
- There are other criteria applied, such as cost-effectiveness and it is not clear how such terms are actually defined
- There is sometimes more or less lack of comparison between what was expected and what was actually achieved. Sometimes reasons are given, such as that the emergency situations required total flexibility. Results are evaluated on its own merits, the results were good or not good in general
- The objectives were formulated with a result ambition but the project achieved outputs only. It may however be fully justified only to achieve outputs.
- Many projects involve many actors and it becomes difficult to track the efficiency and effectiveness of the specific IOM project
- It is not uncommon that statements on efficiency, effectiveness, performance lack a well researched approach; it may often be based on the views expressed by others.

Another criteria in the ALNAP Guide that appears in evaluations, even if not systematically, is relevance. The meaning of relevance seems to follow the agreed OECD- DAC definition.

The criterion of coherence is sometimes found and judging from how evaluations use the criterion, it does not explicitly relate to evaluating the extent to which policies guiding the area are complementary or contradictory. Since many of the evaluations studied don't directly assess whether the projects follow the humanitarian principles as such, there is little reference to adherence to humanitarian principles.

In our view, it is reasonable in the future for a financier like Sida to state as a condition, that humanitarian projects financed by Sida, shall be evaluated using the OECD- DAC criteria for evaluating humanitarian action.

On the practical level, Sida as well as other funding organisations need to consider how such evaluations shall be financed. IOM is in general positive to ambitions for built-in evaluations.

## 6 Conclusions and Recommendations

Our mission has been to study IOM's humanitarian interventions as basis for recommendations to Sida, not to evaluate IOM or to assess the relation between Sweden and IOM on an overall level. We believe that elements in our description and analysis may be considered internally by IOM, in order to improve its operations. We also believe that there are elements that may be considered from an overall Swedish perspective in terms of how Sweden as a member state shall try to influence the further development of IOM, for example regarding diversification, policy, the extent of "projectization" and management systems. Our interpretation of the mission is that it is not appropriate for us to make any conclusions or recommendations in this respect. We can conclude, however, that if Sweden and other member states want to more clearly steer IOM's operations in a certain direction the appropriate method would be to request the administration to develop proposals for more detailed policies and objectives linked to different parts of the 12 points strategy. This proposal would then in a second step need to be discussed and refined by the member states.

We have summarised our main findings in introductory boxes in different Sections. Based on the previous description and analysis of IOM and its humanitarian interventions, we use this last Section 6 to draw our conclusions and make our recommendation for how Sida may cooperate with and support IOM's humanitarian assistance through the Swedish humanitarian budget. The section is based on the perspective provided by the Swedish Humanitarian Aid Policy and Sida's Strategy for Humanitarian Assistance. We follow the four areas for recommendations in the ToR:

- Rationale for selecting IOM for provision of humanitarian assistance (Section 6.1);
- Forms and modalities for cooperation with IOM (Section 6.2)
- Geographical considerations (Section 6.3); and
- Criteria for assessment of IOM's projects (Section 6.4).

### 6.1 Rational for Selecting IOM for Provision of Humanitarian Assistance

The Swedish Humanitarian Aid Policy states that:

*The government makes grants to both Swedish, foreign and international organizations. Special importance should be attached in this connection to institutions in the UN system, the International Red Cross and Red Crescent Movement and NGOs with long experience of humanitarian aid. Funds should only be allocated to organizations that have adopted established international codes of conduct in this field or made similar commitments.*

*Government Communication 2004/05:52 The Government's Humanitarian Aid Policy, Communication 2004/05:52, page 21*

In Sida's Strategy for Humanitarian Assistance 2008–2010 the wording "special importance" has been excluded. Even so, our understanding is that the list of actors that can receive support is not exclusive. In coming revisions of the Sida's strategy, we think it would be appropriate to explicitly include "other intergovernmental organisations".

The requirement that the "organisations" should have adopted established international codes of conduct or made similar commitments is differently and less clearly phrased in Sida's Strategy. By signing up for the Humanitarian Reform IOM has committed itself to follow all the general principles for the coordinated humanitarian emergency assistance. IOM has contributed to many, and endorsed

all, IASC policy and guidelines and contributed and explicitly supported tools and manuals developed in the clusters. The Code of Conduct of the Red Cross, however, has not been endorsed by IASC, and thus not by UN agencies or IOM, but by one of the NGO consortiums that are members of IASC – The Steering Committee for Humanitarian Response. Neither has IOM made any similar commitments in internal documents to follow this code of conduct. Even if we believe this to be a more theoretical than practical problem, we believe IOM as part of a policy for its emergency assistance can increase the clarity on the organisations commitment to follow the principles in the Code of Conduct. Sida may also review the phrasing of its Strategy for Humanitarian Assistance 2008–2010 in this respect.

The cooperation between Sida and institutions such as NGOs, universities, government agencies and intergovernmental organisations shall be objective, based on current legislation and be in adherence with the applicable regulatory framework. IOM is a so called “projectized” intergovernmental organisation with a wide migration mandate providing a wide range of services under this migration umbrella. EU and Swedish legislation for tendering is not applicable in terms of contributions to IOM in the form of membership fees or equivalent. Other forms of contributions to non profit organisations should be well based on the organisation’s uniqueness. The purpose of this requirement is to avoid unsound competition between these organisations and the private sector. Activities outside of the non-profit organisations uniqueness should be considered for open tenders, in order to ensure cost effectiveness and to get the best possible results from tax payers’ money. Our conclusion in Section 2.4 was that the Swedish government needs to make its own definition of IOM’s uniqueness.

The goal of the Swedish government’s Humanitarian Aid Policy is to help to save lives, alleviate suffering and maintain human dignity for the benefit of people in need who are, or are at risk of becoming, affected by armed conflicts, natural disasters or other disaster situations. Swedish humanitarian aid is provided in two closely related forms: material aid and protection.

*“Material aid may be given above all in the form of food, nutritional supplements, shelter, water, sanitary facilities, healthcare and other health services, and in some cases education, agricultural support and other not immediately lifesaving measures. Protection includes measures designed to ensure respect for the rights of people in need, in particular the right to physical safety and dignity. Related measures include calling attention to the obligations of armed groups, registration of the status of refugees or internally displaced persons and education about rights and obligations under international law. In many cases, individual humanitarian actions comprise both material aid and protection, since material aid protects the rights of vulnerable persons and protective measures improve the individual’s chances of receiving material aid. The crucial criterion for humanitarian action is the individual’s need of material aid or protection, or both.”*

*Government Communication 2004/05:52 The Government’s Humanitarian Aid Policy, Communication 2004/05:52, page 6.*

Humanitarian aid should in principle be discontinued when the immediate needs of an affected population have been met and conditions have been restored to a situation similar to that before the outbreak of the disaster. At the same time it is not entirely clear where to draw the line where humanitarian aid should stop and where development assistance should start. In practice a funding gap often appears in this grey zone, to the detriment of the ongoing rehabilitation and stabilisation efforts

The Swedish government’s humanitarian aid policy is guided by the principles agreed upon informally at the international conference on humanitarian donorship by 16 states and the European Commission in Stockholm in June 2003. This includes the principles to strengthen the capacity of affected countries and local communities to prevent, prepare for, mitigate and respond to humanitarian crises; and to

provide humanitarian assistance in ways that are supportive of recovery and long-term development, striving to ensure support, where appropriate, to the maintenance and return of sustainable livelihoods and transitions from humanitarian relief to recovery and development activities.

Our interpretation of the Swedish Humanitarian Aid Policy, and a more stringent definition of the uniqueness of IOM in terms of providing services financed by the humanitarian budget, is that it is mainly immediate assistance from IOM during periods of emergency and in the immediate aftermath of the emergency that can be financed through the Swedish humanitarian budget. For assistance in post crisis situations and assistance with emergency related capacity building and prevention two questions arise: Can the assistance be financed through the humanitarian budget? Does IOM's uniqueness make it legitimate to fund the activity without tender? We have not been convinced of IOM's uniqueness in areas such as emergency-related capacity building and prevention of disasters or community stabilisation<sup>9</sup>. We don't see this area of operations to include sufficiently clearly defined core activities directly related to IOM's role as an organisation for migration (in a narrow sense) or IOM's membership in IASC. Since such activities may also be in the overlapping grey area between humanitarian and development assistance, we have not explicitly included them in the following proposed definition of IOM's uniqueness for the purpose of funding from the Swedish humanitarian budget.

We propose the following definition of IOM's uniqueness from a Swedish humanitarian perspective.

*Being a standing invitee to the Inter-Agency Standing Committee according to resolution by the UN General Assembly, IOM also has a special role in the international system for the UN coordinated humanitarian emergency assistance. IOM's projects proposed within this framework through the Country Appeals Process or Flash Appeals build on a coordinated assessment of where IOM's emergency assistance is needed. From a Swedish perspective all such projects are considered to be a part of IOM's uniqueness based on its role in the UN coordinated system. Movement of people in relation to emergency and post crisis situation is also a part of IOM's uniqueness.*

*The needs in emergencies and the direct aftermath of emergencies sometimes makes it necessary to continue the same support even after the period of Flash Appeals and after that the Country Appeals Process not is used any more. Support that has been initiated in the framework of the UN coordinated humanitarian emergency assistance may be continued when appropriate if the main focus remains unchanged, or the when the assistance clearly build on previous activities.*

*For projects proposed outside the framework of coordinated humanitarian assistance IOM's uniqueness in emergency and the direct aftermath of emergencies is considered to be limited to the movement of people and the core area of its operations in emergencies as listed below. In addition, IOM may be unique in being able to build capacity and provide assistance when there is no realistic alternative or when it obviously is in the best interest of the affected population to fund IOM's activities. If other organisations can provide the same services, Sida has a major role in designing the project and Sida will be the main funding organisation, an invitation for tender should be submitted to different actors – possibly including IOM.*

To avoid a rigid statement of uniqueness we included the last sentence in the above proposal for a definition of IOM's uniqueness, based on the absence of other realistic alternatives or when funding IOM's activities obviously is in the best interest of the affected population. This opens opportunities for Sida to also fund IOM's activities through the humanitarian budget in post crisis situations as appropriate.

---

<sup>9</sup> One exception is that IOM seem to have a well developed concept for reintegration of former combatants. We have not included these services since our understanding is that Sida's choice is not to fund such IOM activities.

Our intention is that a list of IOM's core activities that may be funded through the Swedish humanitarian budget support should follow after the above definition. We propose that Sida develops such a list by selecting phases and activities that can be considered to be funded from Table 10 *Services related to emergencies and post-crisis that according to IOM typically can be provided by the organisation, if capacity and resources permitting.*

## 6.2 Forms and Modalities for Cooperation with IOM

We have developed four forms and modalities for Sida cooperation with IOM in the area of humanitarian emergency assistance.

### For the purpose of strengthening IOM in humanitarian action

*Secondment of experts in humanitarian emergency assistance* to IOM's headquarters with the purpose of strengthening IOM's strategic approach to emergency assistance and assist IOM in the work with the cluster approach, development of strategy and policy, development of systems for scrutinising IOM's projects in emergency and post-crisis situations before endorsement. Ideally, secondment of experts should be combined with some funds that can be used to co-finance studies (for example a thematic evaluation of IOM's emergency projects), updating of manuals and emergency related training of field staff.

Sida may consider trying to form a group of donors that *approach IOM in order to initiate a discussion on how a more strategic approach to humanitarian emergency assistance for IOM can be developed and funded.* Being a mainly "projectized" organisation with a clear shortage of resources at the central level it can have a large impact on IOM's operations to fund projects on the strategic level. It is not necessarily only donors that should add funds needed to strengthen IOM's strategic approach to humanitarian assistance. There are also reasons to discuss the allocation of IOM's administrative budget and discretionary income.

### For the purpose of achieving humanitarian objectives

Develop arrangements for giving IOM and other organisations *access to gratis personnel through Swedish rosters of experts* that may be deployed in emergencies. Danida and Norad have such arrangements administered by the Danish and the Norwegian Refugee Councils respectively. We have not explored in detail how similar arrangements could be developed to provide Swedish experts for deployment in emergencies funded by Sida.

*Funding of projects* in emergencies and the direct aftermath of emergencies. We believe that projects in the framework of UN coordinated humanitarian emergency assistance will be the core of IOM's projects funded through the Swedish humanitarian budget. It is also likely that Sida will fund some projects outside this framework. We have drafted a set of criteria to be used for assessment of IOM's project proposals, see Section 6.4. As can be seen under each criterion we have been convinced that it is reasonable for Sida to simplify the assessment for projects proposed within the UN-coordinated framework of humanitarian emergency assistance.

## 6.3 Geographical Considerations

We have not found it possible to give any geographical guidance for when to fund IOM's humanitarian interventions and not. We see two relevant aspects though that needs to be considered as part of the assessment of each project.

*Assess the context.* As an organisation based on membership IOM works closely with member states as host countries or as donors. Referring to host countries, IOM's constitution states that IOM "...in carrying out its functions, shall conform to the laws, regulations and policies of the States concerned". In humanitarian assistance is it not only important to follow the principles and the framework for



humanitarian assistance but also to be perceived as independent and neutral in the environment. We believe it to be appropriate to assess on a project basis if there is a risk that previous cooperation with the host government or a specific donor government can jeopardise the perception of IOM as independent and neutral.

*Assess IOM's capacity.* On country level IOM's presence and the competence profile of its staff can vary substantially over time since this is adjusted to the projects that can be funded at any given time. For most of the country missions, there are no fixed resources – everything is funded by the projects. On the other hand one of IOM's strengths is its ability to build capacity using a core of flexible international resources to design and manage interventions where most of the work is carried out by recruited local staff and by cooperating with international and local NGOs. This does not mean that IOM always is able to provide services – it depend on its previous presence in the country and whether emergency experts can be released from regional offices or other offices around the world and/or recruited through the emergency roster. According to our interviews with international NGOs, IOM has been appreciated for being generous in transferring funds received through CERF further on to NGOs when IOM has not had the capacity themselves to provide all assistance. In countries with ongoing emergencies IOM has staff that are used to the emergency situations as well as being well acquainted with the system for coordinated humanitarian assistance. In other cases this is not necessarily the case, and IOM may need to find this expertise somewhere else. Our conclusion is that IOM's capacity varies geographically, but that this needs to be assessed on a project by project basis, even if assumptions sometimes can be made – see further criteria for project assessment.

## **6.4 Criteria for Assessment of IOM's Projects**

The basic assessment of IOM projects for possible funding through the Swedish humanitarian budget needs to be the same as for all humanitarian projects, including

- An assessment of if the proposal is in line with Sida's policy and objectives for humanitarian assistance.
- Considerations if the project is designed so that the results can be evaluated in view of the OECD-DAC criteria for humanitarian action. These more specific criteria are: Relevance/Appropriateness, Connectedness, Coherence and Coverage. The detailed definition of these criteria is found in the ALNAP guide for humanitarian agencies. The OECD-DAC criteria also includes: Efficiency, Effectiveness and Impact.

In addition, we propose that proposals for IOM humanitarian assistance are assessed using the following criteria as appropriate.



| <b>Criterion</b>         | <b>Assessment</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Context                  | Make an overall assessment if IOM is likely to be perceived as a neutral and independent provider of humanitarian emergency assistance, considering previous IOM cooperation with the government and specific donors in the country or region. The assumption should be that it is entirely appropriate to cooperate with IOM unless there is an apparent risk that previous IOM engagement in the country/region can jeopardize the perception of IOM as neutral and independent, and thereby the credibility of the whole humanitarian operation.                                                                                                                                                                                             |
| Capacity                 | Make an overall assessment of how IOM describes its capacity to carry out the project. Does IOM already have emergency experts on the ground, or will they provide this expertise from elsewhere? Has IOM in CERF-funded projects taken a management role, relying on capacity in the NGO community? Consider that IOM staff in countries without UN Humanitarian Coordinators may not be well acquainted with the UN coordinated system for humanitarian assistance.                                                                                                                                                                                                                                                                           |
| Cost and activities      | Assess the cost of the assistance to be provided by IOM, compared to alternatives. Among other things this means that project funds need to cover costs for training of staff and management oversight and administration. Consider IOM's structure of being fully project financed on the country level in the comparison. Consider also the need to specify the activities that can be carried out as part of the project and not. Ensure that coordination activities with UN Country Teams not only are legitimate project activities but a requirement in the project. Be explicit in whether project funds can be used for development of subsequent phases of the project or other project proposals.                                    |
| Uniqueness               | Consider IOM's uniqueness in providing the assistance to establish if it is reasonable to fund the project without tender. Use Sida's definition of IOM's uniqueness in emergency assistance. All projects proposed in Flash Appeals or CAPs, or continuation of such projects, is defined as part of IOM's uniqueness. In other cases look at Sida's view on IOM's core strengths in emergencies (see discussion above). Also consider if there are no realistic alternatives to the assistance by IOM or when it obviously is in the best interest of the affected population to fund IOM activities.                                                                                                                                         |
| Coordination             | Consider if the project is sufficiently coordinated in the UN Country Team, with the result that IOM is the most appropriate implementer. When the project is proposed within the framework of coordinated humanitarian emergency assistance the assumption should be that the project is sufficiently coordinated unless there are clear arguments for the opposite.                                                                                                                                                                                                                                                                                                                                                                           |
| Principles and standards | Consider what principles and standards to be followed in the project that are explicitly described in the project document. When the project is proposed within the framework of coordinated humanitarian emergency assistance the assumption should be that the project will follow the general accepted principles and standards for coordinated humanitarian emergency assistance unless there are clear arguments for the opposite. In other projects it should be explicitly stated what principles and standards that will be followed. The assessment of whether this is sufficient or not shall be made based on the Swedish Humanitarian Policy and generally accepted principles and standards for humanitarian emergency assistance. |
| Service provider         | Consider if Sida is, or should be, a single donor for the project or not. When Sida is the single donor, IOM can be treated as a service provider where requirements and expectations can be made clear. In the case of pool funding or financing by a group of donors, avoid as far as possible unique requirements on reporting etc. in favour of coordinating such requirements in the of donor group.                                                                                                                                                                                                                                                                                                                                       |
| Control and evaluation   | Even if IOM has a system of internal audit and evaluation, IOM cannot be expected to follow Sida norms or strategies for audits, rapid assessments or evaluations. If this is a requirement, this should be explicitly stated in the agreement and fully funded by the project. Also state that the OECD-DAC criteria for evaluating humanitarian action should be used.                                                                                                                                                                                                                                                                                                                                                                        |

We also recommend Sida to consider if IOM's procedures for procurement meet Swedish requirements, i.e. that procedures for competitive bidding only is mandatory for purchases over 200,000 USD and that there is no formal requirement to make the result of competitive bidding public.

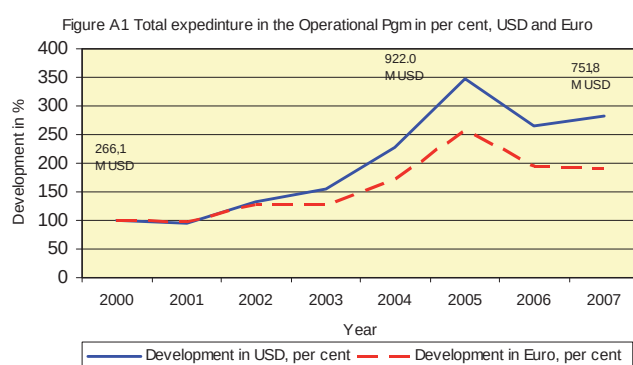
## Annex I Interviews

| Organisation                                | Name                           | Position                                                                               | Location  |
|---------------------------------------------|--------------------------------|----------------------------------------------------------------------------------------|-----------|
| IOM                                         | Rogelio A. Bernal              | Head Staffing and Recruitment Services,<br>Acting Director Human resources Management  | Geneva    |
| IOM                                         | Robert G. Paiva                | Director External Relations Department                                                 | Geneva    |
| IOM                                         | Jill Helke                     | Executive Officer, Office of the Director General                                      | Geneva    |
| IOM                                         | Renate Held                    | Inspector General                                                                      | Geneva    |
| IOM                                         | S. Ovais Sarmad                | Director Department of Resources Management                                            | Geneva    |
| IOM                                         | Richard Danziger               | Division Head Migration Management Services Department                                 | Geneva    |
| IOM                                         | Dr Richard C. Perruchoud       | Director International Migration Law and Legal Affairs<br>Department                   | Geneva    |
| IOM                                         | Marco Tulio Boasso             | Head Emergency and Post Crisis Division                                                | Geneva    |
| IOM                                         | Christophe Franzetti           | Evaluation Officer, Office of the Inspector General                                    | Geneva    |
| IOM Regional Office<br>Thailand             | MD Maria Nenet<br>Motus        | Regional Migration Health Advisor                                                      | Thailand  |
| IOM                                         | Jacqueline Weekers             | Senior Migration Health Policy Advisor,<br>Migration Health Department                 | Geneva    |
| IOM                                         | Pasquale Lupoli                | Director Department of Operations Support                                              | Geneva    |
| UNHCR                                       | Anja Klug                      | Senior Legal Officer, Protection Operations and<br>Legal Advice Section                | Geneva    |
| UNHCR                                       | Boniface Macharia<br>Kinyanjui | Executive Assistant to the Director Division of<br>International Protection Services   | Geneva    |
| UNHCR                                       | George Okoth-Obbo              | Director Division of International Protection Services                                 | Geneva    |
| UNHCR                                       | Vincent Cochetel               | Deputy Director, Division of International Protection Services                         | Geneva    |
| OCHA                                        | Jamie McGoldrick               | Humanitarian Reform Support Unit                                                       | Geneva    |
| IASC Secretariat                            | Darla Silva                    | Humanitarian Affairs Officer                                                           | Geneva    |
| OCHA                                        | Merete Johansson               | Chief Geographical Coordination & Monitoring Section                                   | Geneva    |
| OCHA                                        | Peter Neussl                   | Chief Geographical Coordination & Monitoring Section                                   | Geneva    |
| IOM                                         | Michael Pillinger              | Senior Emergency Coordinator, Emergency and<br>Post Crisis Division                    | Geneva    |
| IOM                                         | Rocio Sanz                     | Emergency Officer, Emergency and Post Crisis Division                                  | Geneva    |
| UNHCR                                       | Ruvendrini Menikdiwela         | Deputy Director Division of International Protection Services                          | Geneva    |
| IOM                                         | Liliana Mircescu               | Head Staff Development and Learning Unit                                               | Geneva    |
| UNHCR                                       | José Riera                     | Senior Policy Adviser, Policy Development and<br>Evaluation Service Executive Office   | Geneva    |
| IOM                                         | Patricia Reber<br>Hashemee     | Donor Relations Officer                                                                | Geneva    |
| IOM                                         | Yvonne Mortlock                | Chief Accountant                                                                       | Geneva    |
| IOM                                         | Julian Finn                    | Chief Treasury                                                                         | e-mail    |
| IOM                                         | Clarissa Azkoul                | Chief Donor Relation Division                                                          | Geneva    |
| IOM                                         | Vladimir Gjorgjiev             | Field Procurement Unit                                                                 | e-mail    |
|                                             | Ann Blomberg                   | Former Counsellor Humanitarian Affairs at the Permanent<br>Mission of Sweden in Geneva | Geneva    |
| Permanent Mission<br>of Sweden in Geneva    | Fredrik Kirst                  | Counsellor Humanitarian Affairs                                                        | Geneva    |
| Ministry of Foreign<br>Affairs, Netherlands | Niek de Regt                   | Humanitarian Aid Division                                                              | Telephone |

| <b>Organisation</b>                          | <b>Name</b>      | <b>Position</b>                                                 | <b>Location</b> |
|----------------------------------------------|------------------|-----------------------------------------------------------------|-----------------|
| DFID U.K.                                    | Patrick Saez     | Conflict, Humanitarian and Security Department                  | Telephone       |
| DFID U.K.                                    | John Webster     | Policy Team Leader, former UK member of IOM Executive Committee | Telephone       |
| Ministry of Foreign Affairs, Sweden          | Mikael Lindvall  | Deputy Director Humanitarian Affairs                            | Stockholm       |
| IOM                                          | Lea Mathiesen    | Emergency and Post Crisis Division                              |                 |
| Steering Committee for Humanitarian Response | Eva von Oelreich | Executive Secretary                                             | Geneva          |
| International Committee of the Red Cross     | Isabelle Barras  | Head of unit External Resources Division                        | Geneva          |
| International Committee of the Red Cross     | Anne Zeidan      | Diplomatic Adviser, Humanitarian Diplomacy Unit                 | Geneva          |
| Ministry of Foreign Affairs, Sweden          | Göran Engstrand  | Councillor, the Swedish Embassy in Harare                       | Zimbabwe        |
| Ministry of Foreign Affairs, Sweden          | Goodhope Ruswa   | Officer, the Swedish Embassy in Harare                          | Zimbabwe        |
| IOM Zimbabwe                                 | Marcello Pisani  | Head of Mission                                                 | Zimbabwe        |
| IOM Zimbabwe                                 | Dyane Epstein    | Deputy Head of Mission                                          | Zimbabwe        |
| IOM Sudan                                    | Gerard Waite     | Head of Operations, Juba, South Sudan                           | Sudan           |
| IOM Sudan                                    | Mario Tavolai    | Chief of Mission Khartoum                                       | Sudan           |

## Annex II Statistics

IOM's operational budget is expressed in USD. The value of the USD has changed dramatically in relation to Euro during the period covered by this report – from 1.08 year 2000 to 0.66 Euro 2008. IOM has a lot of its expenditure in currencies related to USD. On the other hand it is likely that the development of the USD has effected inflation in these countries. Considering the global character of IOM we see no reasonable method to calculate the expenditure in fixed costs. In Figure A1 the development of IOM's operational budget in per cent is shown in USD but also in Euro, which has been more stable during the period. The statistics the table is based on is presented in Table A1.



**Table A.1 Development of total expenditure in IOM's Operational Programme 2000–2007 in Million USD, and in per cent in USD and Euro respectively** (See also Figure A1)

|                            | 2000  | 2001    | 2002    | 2003   | 2004   | 2005    | 2006    | 2007    | Aug 2008 |
|----------------------------|-------|---------|---------|--------|--------|---------|---------|---------|----------|
| Total expenditure USD      | 266,1 | 252,2   | 349,6   | 413,5  | 607,9  | 922,0   | 703,2   | 751,8   |          |
| Development in% USD        | 100%  | 95%     | 131%    | 155%   | 228%   | 346%    | 264%    | 283%    |          |
| Development in% Euro       | 100%  | 98%     | 128%    | 127%   | 170%   | 257%    | 194%    | 190%    |          |
| Exchange rate USD/<br>Euro | 1,085 | 1,11691 | 1,06106 | 0,8854 | 0,8051 | 0,80453 | 0,79703 | 0,73082 | 0,65501  |

Source: IOM Financial Reports 2000–20007. For exchange rates: <http://www.oanda.com/convert/fxhistory>

**Table A.2 Expenditure for direct operations and for staff and office in IOM's Operational Programme 2000–2007 in USD, excluding claims/compensation programmes** (See also Figure 1)

|                          | 2000         | 2001         | 2002         | 2003         | 2004         | 2005         | 2006         | 2007         |
|--------------------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|
| <b>Total expenditure</b> | <b>266,1</b> | <b>235,3</b> | <b>278,3</b> | <b>305,3</b> | <b>463,5</b> | <b>610,6</b> | <b>632,7</b> | <b>743,0</b> |
| Direct operations        | 190,2        | 158,5        | 179,1        | 193,2        | 321,2        | 424,9        | 443,0        | 493,4        |
| Staff and office         | 75,9         | 76,8         | 99,2         | 112,1        | 142,2        | 185,7        | 189,7        | 249,6        |

Source: IOM Financial Reports 2000–20007.

**Table A.3 Number of staff in IOM June 2001–June 2007** (See also Figure 2)

|                                            | 2001        | 2002        | 2003        | 2004        | 2005        | 2006        | 2007        | 2008                |
|--------------------------------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|---------------------|
| <b>Staff – total</b>                       | <b>2611</b> | <b>3344</b> | <b>3580</b> | <b>4115</b> | <b>4826</b> | <b>5341</b> | <b>6052</b> | <b>Approx. 6500</b> |
| <b>Headquarters, total</b>                 | <b>239</b>  | <b>289</b>  | <b>342</b>  | <b>375</b>  | <b>325</b>  | <b>299</b>  | <b>230</b>  |                     |
| Officials                                  | 116         | 131         | 144         | 152         | 138         | 139         | 135         |                     |
| Local staff                                | 97          | 114         | 159         | 167         | 161         | 137         | 90          |                     |
| Short term local staff                     | 25          | 42          | 36          | 50          | 22          | 20          | 4           |                     |
| Associate experts                          | 1           | 2           | 3           | 6           | 4           | 3           | 1           |                     |
| <b>Field offices, total</b>                | <b>2372</b> | <b>3055</b> | <b>3238</b> | <b>3740</b> | <b>4501</b> | <b>5042</b> | <b>5822</b> |                     |
| Officials                                  | 276         | 393         | 403         | 428         | 483         | 513         | 560         |                     |
| Local staff                                | 1449        | 1370        | 1599        | 2093        | 2343        | 2844        | 3271        |                     |
| Short term local staff + National Officers | 632         | 1280        | 1223        | 1206        | 1662        | 1669        | 1980        |                     |
| Associate experts                          | 15          | 12          | 13          | 13          | 13          | 16          | 11          |                     |
| <b>Indicators</b>                          |             |             |             |             |             |             |             |                     |
| Total% Officials on short term contract    | 19%         | 29%         | 19%         | 19%         | 22%         | 19%         | 15%         |                     |
| Total% Woman                               | 45%         | 42%         | 43%         | 45%         | 42%         | 44%         | 41%         |                     |
| Approx 60–65% female staff at headquarters |             |             |             |             |             |             |             |                     |

Source: IOM's Human Resources Reports 2001–2007

**Table A.4 Expenditure in IOM's Operational Programme 2000–2007 in Million USD by region, excluding claims/compensation programmes (reduced from Europe)** (See also Figure 3)

|                            | 2000         | 2001         | 2002         | 2003         | 2004         | 2005         | 2006         | 2007         |
|----------------------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|
| <b>Total</b>               | <b>266,1</b> | <b>235,3</b> | <b>278,3</b> | <b>306,3</b> | <b>463,5</b> | <b>610,6</b> | <b>632,7</b> | <b>738,0</b> |
| Africa and the Middle East | 33,3         | 40,1         | 31,5         | 64,1         | 101,8        | 159,5        | 124,0        | 150,4        |
| Americas                   | 29,4         | 31,8         | 31,7         | 49,7         | 74,6         | 97,7         | 122,4        | 173,5        |
| Asia and Oceania           | 29,6         | 49,4         | 106,4        | 69,1         | 154,8        | 208,2        | 205,3        | 202,1        |
| Europe                     | 162,5        | 101,4        | 89,4         | 101,9        | 109,3        | 115,6        | 145,5        | 155,9        |
| Global activities          | 3,3          | 4,9          | 7,2          | 9,4          | 9,7          | 10,3         | 14,5         | 26,0         |
| Other                      | 8,0          | 7,8          | 12,2         | 12,1         | 13,4         | 19,4         | 21,0         | 30,2         |

Year 2000–2001 Core Staff and Services is not the same in the regional distribution as in the distribution by Programme. The reason is differences in grouping of figures.

From year 2003 costs for UN security mechanism is included

2006–2007 the expenditure in Africa represent 76–83% of the expenditure in the region Africa and the Middle East

2006–2007 the expenditure in Latin America and the Caribbean represent 97% of the expenditure in the region Americas

Source: IOM's Financial Reports 2000–20007.

**Table A.5 Expenditure in IOM's Operational Programme 2000–2007 in Million USD by service**

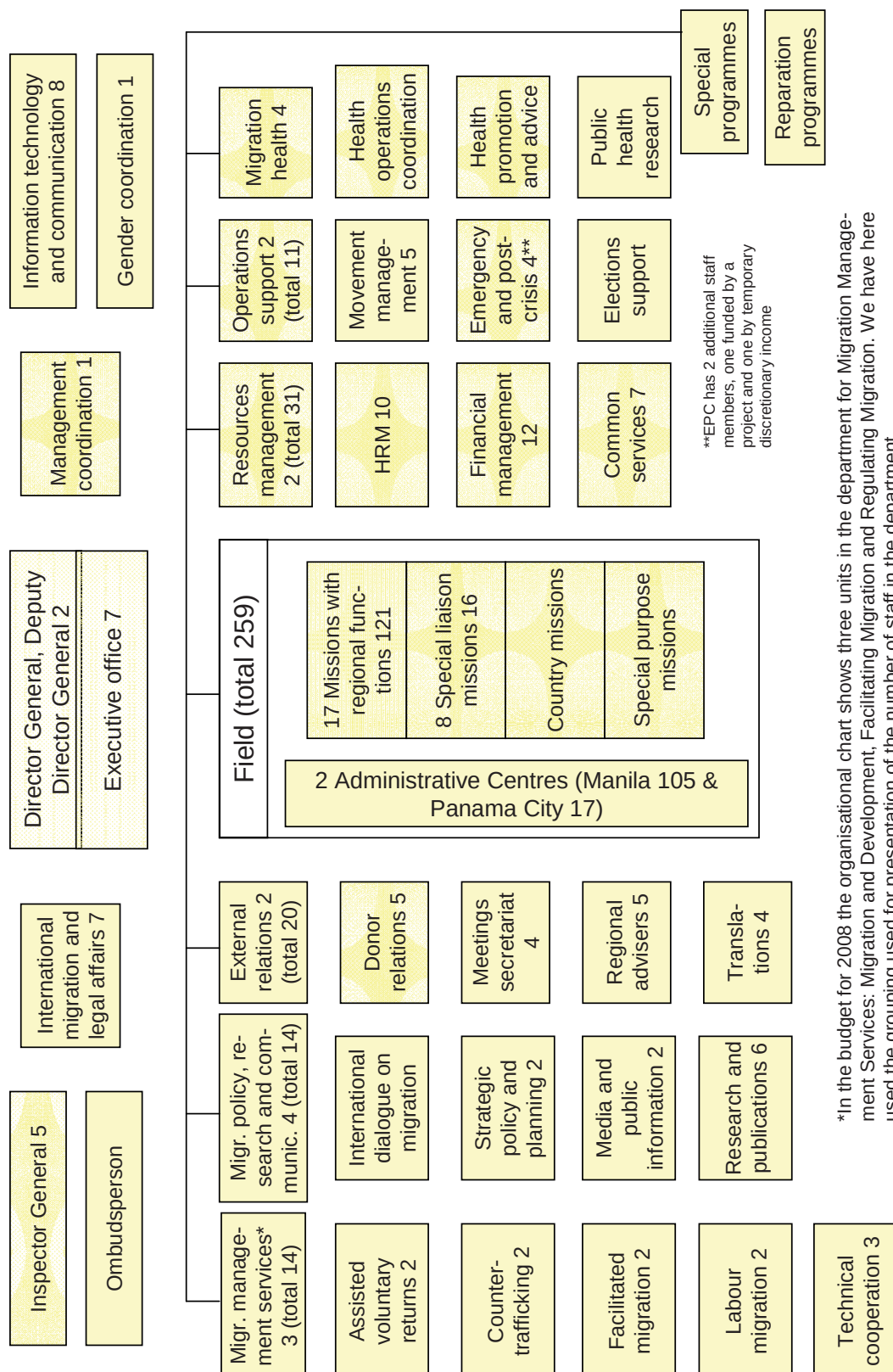
| <b>Service</b>                                     | <b>2000</b>  | <b>2001</b>  | <b>2002</b>  | <b>2003</b>  | <b>2004</b>  | <b>2005</b>  | <b>2006</b>  | <b>2007</b>  |
|----------------------------------------------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|
| <b>Total</b>                                       | <b>266,1</b> | <b>252,2</b> | <b>349,6</b> | <b>413,5</b> | <b>607,9</b> | <b>922,0</b> | <b>703,2</b> | <b>751,8</b> |
| <i>Current core service structure</i>              |              |              |              |              |              |              |              |              |
| Movement, Emergency and Post-Crisis Migration      |              |              |              |              |              |              | 336,7        | 390,8        |
| Migration Health                                   | 9,5          | 9,6          | 9,5          | 12,2         | 22,0         | 30,2         | 38,1         | 41,9         |
| Migration and Development                          |              |              |              |              |              |              | 52,6         | 50,7         |
| Regulating Migration                               |              |              |              |              |              |              | 151,2        | 182,3        |
| Facilitating Migration                             |              |              |              |              |              |              | 26,1         | 34,5         |
| Migration Policy, Research and Communication       |              |              |              |              |              |              |              | 1,3          |
| <i>Former core service structure</i>               |              |              |              |              |              |              |              |              |
| Movement                                           | 99,3         | 96,4         | 122,7        | 111,1        | 152,8        | 143,1        |              |              |
| Techn. Cooperation on Migration                    | 48,9         | 83,2         | 82,0         | 101,6        | 186,6        | 314,4        |              |              |
| Assisted Voluntary Returns (and Integration)       | 89,8         | 25,9         | 33,2         | 40,9         | 54,8         | 68,0         |              |              |
| Mass Information                                   | 2,1          | 1,6          | 2,8          | 3,0          | 0,0          | 0,0          |              |              |
| Counter-Trafficking                                | 2,3          | 4,3          | 6,7          | 10,9         | 18,8         | 23,6         |              |              |
| Labour Migration                                   |              |              | 1,8          | 4,3          | 6,2          | 3,2          |              |              |
| <i>Others</i>                                      |              |              |              |              |              |              |              |              |
| Reparation/Compensations/Claims/Other Programmes*) |              | 16,8         | 71,4         | 107,2        | 144,5        | 311,4        | 70,5         | 13,9         |
| General Programme Support                          | 3,6          | 4,7          | 7,4          | 10,2         | 8,9          | 8,8          | 6,8          | 6,2          |
| Core Staff and Services, use of overhead           | 10,6         | 9,8          | 12,2         | 11,1         | 12,3         | 15,4         | 17,7         | 25,7         |
| UN Security Mechanism                              |              |              |              | 0,9          | 1,0          | 3,9          | 3,3          | 4,5          |

\* The category "Other Programmes" was only used year 2001, amounting to 16.8 Million USD. This is likely to be the German Forced Labour Programmes later categorised as Claims or Compensation Programmes.

Source: IOM's Financial Reports 2000–2007.

# Annex III Core Structure of IOM (385), Financed by the Administrative Budget (165) and Discretionary Income (220)

Total staff at headquarters 126, comprised of 61% of staff financed by the administrative budget and 11% of staff financed by discretionary income.



\*In the budget for 2008 the organisational chart shows three units in the department for Migration Management Services: Migration and Development, Facilitating Migration and Regulating Migration. We have here used the grouping used for presentation of the number of staff in the department.



## Annex IV Responses to Areas for Deeper Analysis Formulated in the Terms of Reference

| Requested analysis                                                                                   | Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| The impact of the new strategy on the organization – Head Office, Regional Offices, Country Offices; | <p>The new 12 point strategy, IOMs strategic focus – by some rather described as a strategic framework–was adopted in June 2007. The process of developing the strategy is well documented in IOM internal papers. The previous strategy emanated from 1995, labelled IOM Strategic Planning: Towards the Twenty- First century.</p> <p>It seems to be a general view within IOM that it was the process of developing the strategy, with full involvement of member states, rather than the result that was the most important. The new strategy is quite wide and gives little information on what IOM shall not do.</p> <p>IOM is also confident that a large scale internal information campaign with an ambition to incorporate the strategy into the IOM culture has reached its objectives. The target group for the information was the IOM permanent staff and those with longer and renewed contracts at regional and country level.</p> <p>We have checked if persons we meet and interview are fully aware of the 12 point strategy and this seems to be verified. However, no one claims that the new strategy has given IOM a new and different focus. As the main bulk of IOM staff is short term employed staff at project operational level on country level, it is questionable if this staff category is well informed about the strategy.</p> <p>As the strategy does not really tell the organisation what it shall not do, it matters little if the new strategy has had any impact on country level.</p> |
| The organizational structure of IOM in relation to IOM's humanitarian projects/ programmes;          | <p>IOM emphasises that it is a migration organisation, it is not a humanitarian organisation and it is not organised for any other purpose. The purpose of the organisation is to Manage Migration. The Organisational structure is shown in Annex III.</p> <p>Cross cutting activities are mainstreamed into the operations, among them thematic areas like Human Rights, Migration Health. Gender Dimensions, Integration and Reintegration and Environmental Degradation and Migration.</p> <p>It is therefore a matter of tracking within the organisation to find where more typical humanitarian projects are managed. Our attempts have been rather pragmatic and focussed to find such parts of the IOM organisation where humanitarian projects are more typically to be found. One such part is the Emergency and Post Crisis component in general and more specifically when it is engaged in Humanitarian Response. But probably all main IOM structures are more or less engaged in projects with a humanitarian inclination.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| IOM's main definition of its work: migration – humanitarian                                          | <p>IOM defines itself as an organisation for migration, not as a humanitarian, organisation. A case in point is that there is no global definition of migration. IOM does not itself define migration but it is a prominent actor in the field of migration. IOM has not found a need to give its own definition of humanitarian assistance and has not categorised its operations in those terms. There are many statements and policies within IOM however, that indicates IOM commitment to follow policy and guidelines produced by IASC and tools developed by the cluster groups. There are IOM internal papers covering "humanity" in IOM operations in a more general sense, as reaching out to people in need, in general to be good to each other and emphatic. One also finds statements such as that "IOM is committed to the principles of a humane and orderly migration". One finds humanitarian principles as part of general IOM information material.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

|                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Perceived capacity of IOM to achieve goals established for humanitarian projects/programmes;                                                       | <p>When interviewing other organisations, it is clear that they look at IOM from their own perspectives and judges IOM from what it is engaged in. There seems to be little misunderstanding in terms of that IOM is an organisation established to manage migration and being complementary to more mandated UN organisations. No organisation has perceived IOM to be a humanitarian organisation. Also here, there is a problem of drawing the boarder line between what is strictly humanitarian and not.</p> <p>However, IOM has the ambition to comply fully with both humanitarian principles and to act responsi- bly within the internationally established humanitarian framework. In terms of the cluster approach and the UN Humanitarian Country teams, IOM cooperates fully within the set principles and param- eters. In such cases, the IOM Heads of Missions are probably well informed about the principles to apply when it comes to emergencies and the need to cooperate and more especially, such Head of Missions that work in countries where there are Humanitarian Coordinators However, mistakes are probably made but not as a principle.</p> <p>One comes back to how the humanitarian principles are perceived by different role players, in its more restricted definition to rapidly deal with mitigating interventions in more or less direct connec- tion to the event, to actions that are preventive as well as actions that are more long term and only stop falling under the humanitarian budgets when the persons affected by the disaster are brought back to a more normal life in relative terms. It is probably more within the IOM thinking to classify projects as humanitarian with this broader approach – or rather that IOM believes it to be within their mandate as a migrant organisation.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| The effects on the organization's capacity in particular at country level of the often rapid expansion of the project portfolio and project areas; | <p>The HQ costs have been relatively stable during the last 10 years period, meaning that the relation- ship between HQ and the field has been dramatically expanded, in terms of number of staff and the volume to manage from HQ. This growth has been met by an even greater emphasis on delegation, delocalisation (establishment of administrative centres in Manila and Panama), decentralisation of responsibility (to chiefs of missions, regional managers and special liaison missions as well as country managers), as well as reviews of structures and functions, coupled with more recent major rationalisation of the financial and HR reporting systems (the PRISM roll out)</p> <p>When looking at different parts of HQ, every organisational entity produces a large number of position papers and information material that is available to the decentralised organisation. The terms of reference for the regional heads are very clear on what they shall do in terms of management and control. All IOM projects shall be endorsed by HQ, albeit that they are often conceived as well as agreed in general on country level. Quarterly reports are sent to HQ from the regions (that base their reports from country offices) following a set format, to report on important regional development, changes of the project portfolio, management issues, etc. These reports are finally reviewed by the DG and his office.</p> <p>Another development is that the IOM products or services have increased in number as well as in scope and content. Due to the expansive IOM definition of what shall and can fall within its wide mandate, IOM deliver services in areas that are rather developmental but by IOM justified as appropriate services to mitigate the effects of migration and humanitarian catastrophes. It is therefore not surprising that IOM during the last decade of rapid expansion on all levels and in all fields have taken risks in terms of what is effective and not, what is appropriate or not, as the boundaries are always tested. And there are examples given of misunderstandings and misconcep- tions emanating from the country level that are not fully known on HQ level. High levels of decentrali- sation and the system of "projectization" leads into that personal issues and differences play a more dominant role.</p> <p>Hence, the Head has a substantial larger organisation to manage effectively and efficiently and also a larger scope of services to manage in terms of quality control. The following observations remain as pertinent after this mission</p> <ul style="list-style-type: none"> <li>• Does IOM have enough resources to effectively manage and steer the organisation in terms of its growth and diversified project portfolio?</li> <li>• The extended and more diversified project portfolio at country level and increased expectations on IOM to be more knowledgeable of, committed to and engaged in interactions also on country level with principled organisations, puts increased pressure on the Country manager to live up to all these expectations.</li> </ul> <p>The general feeling of this mission is that IOM is walking on a rather thin edge in both these respects and maybe now is the moment for the new IOM leadership to take stock of the last decade of development and apply a more stringent and principled approach to growth and expansion as well as a new dialogue with the IOM governing bodies of the IOM risks with insufficient resources for administration, management and policy making.</p> |

| Requested analysis                                                                                                                               | Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                           |    |                      |    |                      |    |
|--------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|----|----------------------|----|----------------------|----|
| Staff policy, staff costs tied to projects, and the effects of this on project selection and management;                                         | <p>Every year, IOM provides an HR report to the Council. The only areas that stands out for this mission is the rather limited volume of capacity building, considering the large number o staff.</p> <p>There is an overall HR policy that resembles a general and modern HR approach but is not very IOM specific. These documents include a number of statements regarding ambitions for development and change, adapted to the period in question and in support of the changes within IOM.</p> <p>Delocalisation of operational HR matters to the Manila office means that HR management and development resources become cheaper, provide more value for money, assuming that the general competence is the same and there are no indications that this is not the case.</p> <p>A general assessment of this regulatory framework indicates that it has acceptable standards and a review of challenges for the HR functions seems to be well in line with the developments within IOM.</p> <p>The general IOM approach is to hire staff on a temporary basis to deliver the expected results. Hence, the staff costs are high and would have been lower if consultants or other organisations were hired; this would not then be staff costs. IOM is however increasingly working in partnership with other organisations and does also engage NGOs and CBOs at local level to take part in delivering a project – and then such costs do not appear on the IOM budget and their statistics.</p> <p>IOM uses many resources and ways to find appropriate staff for all its projects and has developed systems for this. There are roosters to select from, there is an established vacancy notice system that is available on the net and there is local head hunting. In terms of lower level project staff, it is not usual that such staff is moved between countries.</p> <p>We have found statements, within IOM and outside IOM that indicate that IOM could improve on taking better care of its field staff; they are often left to fend for themselves.</p> <p>The conclusion is that despite its ambitious systems and approaches as described above, IOM faces the same general problem as UN organisations and NGOs in finding staff with sufficient competence to work in often very difficult circumstances in the field. The risk with this is that IOM recruits staff that may not be sufficiently IOM groomed to represent IOM at field level. Due to the rapid expansion of IOM, the IOM machinery, streamlined as it is, does not have the capacity to take on all up coming assignments. This is sometimes solved by IOM taking on a lead role and using NGOs and CBOs to deliver the services.</p> |                           |    |                      |    |                      |    |
| IOM's routines for introduction and integration of seconded individuals – specialists and JPO:s – from Sweden into the work of the organization; | <p>The objective of the associate expert programme, which could also be applied for other secondments, indicates a focus on donor priorities, added value to IOM, that there shall be exposure to IOM programmes, that it is a basis for possible future employment, to strengthen IOM's general capacity needs and to train experts to achieve IOM's longer term goals.</p> <p>There is a programme for introduction of JPOs that shall be done in compliance with this strategy</p> <p>The reality however, seems to be that seconded people are placed within the IOM organisational framework and contributes to the ongoing work in accordance with their abilities and the specific needs of that work place.</p> <p>If the organisation seconding a person – Sweden in this case – requires specific conditions for the secondment to apply – some of the existing objectives would probably be appropriate to follow – this must be made clear in the conditions for supplying</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                           |    |                      |    |                      |    |
| IOM's systems for planning, monitoring, evaluation;                                                                                              | <p>The systems are explained in Annex V.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                           |    |                      |    |                      |    |
| Number and focus of evaluations since 2000;                                                                                                      | <p>Since the year 2000, the following number of evaluations has been performed:</p> <table><tr><td>OIG initiated evaluations</td><td>20</td><td>Internal evaluations</td><td>9</td><td>External evaluations</td><td>70</td></tr></table> <p>As can be seen from this, the externally driven evaluations dominate. See also Section in the report. OIG has a yearly evaluation plan, endorsed by the DG. That plans shall follow IOM priorities. There has thus not been a conscious effort on the side of IOM to have a longer term focus on what to evaluate – rather a decision year by year on what is appropriate. It would not be professional to try to draw conclusions of the focus since the year 2000.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | OIG initiated evaluations | 20 | Internal evaluations | 9  | External evaluations | 70 |
| OIG initiated evaluations                                                                                                                        | 20                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Internal evaluations      | 9  | External evaluations | 70 |                      |    |

| Requested analysis                                                                                                                                                                                        | Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| The results of the evaluations in terms of the humanitarian objectives of saving lives, alleviating suffering and preserving human dignity;                                                               | <p>Section 5 partly answers this question. As IOM does not classify its projects in terms of being humanitarian or not, IOM has been helpful to track projects that would probably fall within this category. In addition we have selected some evaluations. In total, we have studied around 30 evaluations and then tried to apply the OECD- DAC criteria. In summary, the evaluations studied have in general been of high quality but not following any uniform format and approach (which is understandable as the ToRs of evaluations are often not steered by IOG). Usually, the evaluations attempt to evaluate the results in comparison with the objectives. If these objectives are not expressed in humanitarian terms, the evaluations give no information on such aspects.</p> <p>It would be a time consuming task to go through all evaluations of projects with a connection to humanitarian work and assess in what respect IOM projects adhere to the objectives found in the question.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| IOM's use of the evaluations carried out (system for);                                                                                                                                                    | <p>The Yearly Audit report to the Executive Committee includes recommendations on the findings emanating from the OIG driven evaluations. The results are discussed in the organisational units mostly affected. These units state that they use relevant parts of the evaluations in their dialogues with Country Offices. External reports are read but no systematic analysis of findings are documented. There is thus no specific system within IOM to analyse the results of the evaluations</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| The division of responsibilities (HQ, Regional Offices, Country Offices) and forms of coordination for planning, implementation and follow-up of humanitarian projects and integration of lessons learnt; | <p>There are no separate systems for humanitarian oriented projects so the general approach is applicable. IOM is a highly decentralised organisation. A project development flow chart is applied and the conceptual back ground of this flowchart is found in more expanded documents on principles.</p> <p>Projects emanate and are defined at country level in close cooperation with the respective governments. The proposed financing of the projects may also be agreed at that level. The project proposals are referred to the regional organisation or specialised missions for first approval and vetting. The proposals are then sent to HQ for final approval. There is a system in principle at HQ for scrutiny, that is followed when projects are "not normal" and in such cases extensive collaboration may take place. For "normal" IOM proposals, the endorsement procedure applied by HQ is quick. The rationale is that if the process at country and regional level has done what should be expected, there is no need at HQ level to have different views. If funding is not secured, special procedures are applied.</p> <p>It should be noted that the projects shall follow IOMs general policies and principles and are not specifically classified into humanitarian/non-humanitarian projects. This means in practise that IOM has no specific procedures for endorsement of projects for emergency situations and projects delivered in areas of emergencies are endorsed within the IOM system. There is therefore no special procedure or endorsement policy for humanitarian projects per se. IOM projects for transport of refugees – as an example – are usually not coordinated within the UN country teams. UNHCR applies the same approach</p> <p>Once the projects are fully agreed the implementation and monitoring/reporting phases will commence.</p> <p>The CAP projects (more typical humanitarian) are however managed with a more stringent approach in terms of design and planning as it involves other partners and the UN involvement of humanitarian coordinators.</p> <p>There is a general IOM approach – how well known it is at level is difficult to asses – that when there are differences on country level between various organisations, such as between IOM and UNHCR, such differences should be reported up the organisations and handled by HQ. But as IOM is a highly decentralised organisation, there are always risks that this does not happen.</p> <p>We cannot describe any systematic approach to lessons learned</p> <p>The description above does indicate areas for improvement. This is covered in Section 3 and 4.</p> |

| Requested analysis                                                                | Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-----------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| The ownership and use of the strategic planning;                                  | <p>The most recent and basic IOM strategy is the one adopted by the Council in 2007, including the 12 points, the institutional framework for the governing bodies and the programme and budget setting up principles for use of the IOM income side.</p> <p>Otherwise, there is no other strategic planning than what is contained in the yearly report of the DG in terms of the work of the organisation and the content of the yearly Programme and Budget. The budget contains only what is known at the beginning of the year. A typical IOM year will end by around 40% additional volume compared to what was known at the beginning of the financial year. This would be the planning framework for HQ and the regions.</p> <p>In addition, IOM develops thematic papers. The terms of references for different types of regional managers requires a proactive approach to develop new programmes as a quite dominant feature and other actions shall result in that IOM has good contact and is well established and received at regional/ country level. The managers shall also see to it that things are done correct at the level of responsibility. It may be an oversight or intentional, but very little is said about quality control of what already exists.</p> <p>An important aspect is therefore what the IOM culture is in terms of the content of strategic planning.</p> <p>What some IOM persons has said, is the IOM during the last 10 years have been guided by the vision of the DG, that in order for IOM to fulfil its mandate and expectations, IOM must be an organisation with global presence – and it has been highly successful in reaching this ambition. Another statement is that migration has been increasingly complex; hence the projects are more complex. It is not known by us that migration has dramatically increased in view of complexity but it is true that IOM has moved away from its previous more straightforward services focus into multi faceted projects that provide services on a wide range of competence areas, from preventing migration into integration the migrant in a new surrounding. This results in that IOM provides projects that in its content would be typically developmental and where the justification lies in that the target is migrants – or people on the move.</p> <p>In summary, IOM is hazy in terms of strategic planning; one reason being that it is a service provider.</p> |
| IOM's consideration of its added value in the planning and selection of projects; | <p>When interviewing organisations close to IOM, there is no real question about that IOM does not add value. IOM fills clear gaps, IOM is organised to respond quickly and to mobilise quickly, it can do things on government level that UN organisations cannot do. As the new mandate is very wide, it is not restricted into going into new areas, the restriction is rather what it has capacity or not to do, if a project is appropriate or not – very few proposals are rejected by HQ on this note, which leads into that the proposal machinery on country/ regional level knows what to propose. Few other organisations with a similar position as IOM would be able to deliver projects that are all inclusive.</p> <p>IOM itself believes that such characteristics describe what IOM wants to be. IOM wants to be the best doer in the family; it is the service provider that satisfies the expressed needs of government.</p> <p>Some say that IOM is donor driven but we rather believe it is government/client driven. IOM usually manages to get funding for its projects (few projects agreed by IOM gets no funding at all and reductions may take place that can be accommodated by redesign).It gets funding by approaching many donors which leads into a conclusion that a single member or donor can hardly steer IOM by not funding a proposal.</p> <p>It is an area of concern that IOM becomes an organisation of all trades under the wide migration umbrella, and as a result of that members want IOM to deliver more services and in new areas. It is also a risk with that new project components are outside the established IOM quality control, not because IOM is not quality oriented but rather because there is little knowledge within IOM of what such products should contain.</p> <p>In Section 4, the report provides a deeper analysis of comparative advantages of IOM within the field of humanitarian assistance.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Transparency and coordination with other humanitarian actors;                     | <p>IOM documents rather concentrate on good relations with the member and observer states. The IASC and cluster approach is a rather new avenue for such coordination. Another aspect is that IOM does not think in terms of “humanitarian” and “non humanitarian” organisations. Coordination with other humanitarian organisations rather takes place at local and regional level, when projects are identified. From the humanitarian standpoint this would happen in emergency situation, where IOM has a legitimate presence</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

| Requested analysis                                                                                                                   | Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|--------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Perception of IOM by civil society and by NGOs/INGOs;                                                                                | This is explained in Annex V.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Impartiality, neutrality and independence from governments;                                                                          | <p>These matters are discussed in Section of the report as well as in Section 2.4. The Emergency Response Manual attempts to give guidance of what these humanitarian principles mean in practise for IOM operations. In terms of independence from governments, the IOM main strategy is that it is not their role and responsibility to tell governments what to do and not criticize government for what they do and not do. The negative part of this approach is that silence may be interpreted as agreement and support.</p> <p>Another angle is to what extent IOM is <i>perceived</i> to be impartial, neutral and independent, in view of how it operates.</p> <p>In summary, there is a definite need for IOM to reflect more on what the IOM standpoint is on these aspects of the humanitarian principles, as well as other principles and what risks it may take in accepting projects emanating from certain governments.</p>                                                                                                                                                             |
| Whether IOM's objective for its humanitarian work is in line with Sweden's priorities (policy 2004/05:52, Sida's strategy, GHD);     | The closest one can come to what IOMs objective for its humanitarian work is that IOM has signed up under the Humanitarian reform within the IASC framework. IOM otherwise refers only to its own strategic framework as expressed in the 12 point programme.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| The added value and determining factors, for Sida Humanitarian Division's future cooperation with IOM – sector-wise, geographically. | <p>Section 6, conclusions and recommendations, summarizes our findings in terms of this question.</p> <p>IOM is by and large a very effective organisation in terms of service delivery and project implementation. Due to the fact that it's general approach is to approach donors to finance projects, our main recommendation to Sida's Humanitarian division is to especially consider IOM projects that emanate from the coordinated humanitarian approach. The report dwells substantially on the reasons for this recommendation.</p> <p>When project proposals that can be classified to fall within the humanitarian area and are not coming out from the coordinated humanitarian approach machinery, it is recommended that Sida shall expect from IOM that IOM presents an analysis in terms of a recommended approach and format to make it completely clear in what ways the specific project subscribe to the humanitarian principles of Good Humanitarian Donorship.</p> <p>Should other bilateral donors accept a similar approach, it would make the IOM routines more effective.</p> |

| Requested analysis                                                               | Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Summary of areas of change within IOM for its engagement in humanitarian actions | <p>IOM needs to expand on</p> <ul style="list-style-type: none"> <li>• A more coherent strategic approach to its development and engagement in crisis oriented projects and capacity building of key staff, in what ways other IOM activities may be influenced due to the fact that IOM has a role to play within the humanitarian sphere, some sort of definition of what it means in theory as well as in practise to be better in crisis management</li> <li>• The IOM engagement in the clusters and within IASC is carried out with limited resources. The other engaged organisations would probably welcome such considerations as they see the added value of IOM in this respect</li> <li>• IOM has no visible strategic approach to capacity building of staff working in crisis projects. Any capacity development is dependent on if it is financed as part of the project budgets – which makes it difficult for IOM to develop capacity systematically</li> <li>• There is a need to update IOM guidelines, such as the Emergency Response Manual. No donor has expressed interest yet but more attempts should be made</li> <li>• IOM should consider further developing the capacity of people who on a stand by capacity could quickly be sent to crisis areas. The emergency roster is a step in the right direction. IOM is known for its capacity for quick mobilisation. This is rather a matter of enhanced quality. There are other actors in the fields such as refugee organisations and bilateral donors whose resource bases could be used</li> <li>• The IOM project-based approach has its positive and negative components. On the negative side is that all support to IOM persons sent out to places of crisis shall come from the specific project budgets. IOM may consider to create emergency kits and approaches, as well as standardized support mechanisms to staff in emergency areas, that would become operational irrespective of the project budget – or, as a general approach that would normally be contained or secured in all emergency oriented projects</li> <li>• Emergency response is a wide approach and IOM may consider what are more typical IOM competency areas and invest more in those</li> </ul> |



# Annex V Answers to the Questions in the Terms of References

| Question/Issue in the ToR                                                                                         | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>3.1.1 Organizational structure</i>                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Background and objective of IOM in general with a particular focus on IOM's humanitarian projects and programmes; | See Section 1 of the Report                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Visions, goals, activity plans and policies;                                                                      | <p>The 12 point programme gives the vision and goals of IOM in general.</p> <p>Of importance is the statement preceding the 12 point strategy, namely: "The primary goal of IOM is to facilitate the orderly and humane management of international migration. Building on its expertise and experience, and respecting the mandates of and coordinating with other international organizations, IOM should continue its role as a leading global organization focusing on migration management. The Organization will continue to address the migratory phenomenon from an integral and holistic perspective, including links to development, in order to maximize its benefits and minimize its negative effects. To achieve that goal, IOM will focus on the following activities, acting at the request of or in agreement with Member States"</p> <p>The yearly Programme and Budget, the so called blue book describes how IOM is organised at present, how the administration budget and discretionary income is used and the probable financing of IOM operations for the year in question. There are complementary reports to Council during the operational year.</p> <p>The blue book gives a comprehensive description of each IOM service area, more a description of what is done in general in the programme areas under each service area.</p> <p>The listing of secured projects within each service area/ programme area gives a description of what IOM is actually intending to do, being the IOM activity plan; each project has a profile. The justification for this approach is that IOM is a service provider.</p> <p>The actual result in terms of projects by year end is larger than the agreed projects at year start, as new projects are agreed during the year and projects may be extended during the year.</p> <p>Within each service area, various strategies or policies or position papers are developed, based on the felt need to develop such documents. What does IOM need to develop to give required direction in their service delivery areas, is the internal question asked.</p> <p>Taking the EPC as an example, they produced a comprehensive document list over documents relating to their programme area, including general documents, partnership documents, including cluster relevant documents, as well as country specific documents. Other service areas like Health show a similar picture. All these documents are available for the entire organisation on the intranet.</p> <p>There is thus in our view an abundance of policies and guidelines within IOM. IOM claims to do its best in marketing/describing the documents at meetings and capacity building events at country level.</p> <p>For some but not all countries, IOM has strategic plans for every country. We have looked at a few and these seems to live up to best practices, albeit taking into consideration that IOM is a project driven organisation with difficulty to predict long ahead.</p> <p>The issue of the meaning of the vision and goals of IOM, its mandate, has been discussed at length with key IOM staff as well as with the external organisations interviewed.</p> <p>Many IOM officials recognize that the 12 point strategy is a wider mandate for IOM compared to the strategic vision from 1995. Some external observers claim that IOM is not a mandated organisation. It justifies for IOM to act on all matters that concerns migration, from prevention to full integration in a new or the previous environment.</p> |

| Question/Issue in the ToR                                    | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|--------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Organizational structure and growth, capacity and resources; | <p data-bbox="399 268 1394 349">This information is updated yearly in the Blue book, which is based on a yearly report from The DG to the IOM Council of the previous year. The organs are the Council, the Executive Committee and the Administration</p> <p data-bbox="399 369 810 396">The growth of IOM is shown in Section 1.</p> <p data-bbox="399 416 1394 497">The HQ costs have been relatively stable during this period, meaning that the relationship between HQ and the field has been dramatically expanded, in terms of number of staff and the volume to manage from HQ.</p> <p data-bbox="399 517 1410 660">This growth has been met by an even greater emphasis on delegation, delocalisation (establishment of administrative centres in Manila and Panama), decentralisation of responsibility (to chiefs of missions, regional managers and special liaison missions as well as country managers), as well as reviews of structures and functions, coupled with more recent major rationalisation of the financial and HR reporting systems (the PRISM roll out)</p> <p data-bbox="399 680 1358 761">Quarterly reports are sent to HQ from the regions (that base their reports from country offices) following a set format, to report on important regional development, changes of the project portfolio, management issues, etc. These reports are finally reviewed by the DG and his office.</p> <p data-bbox="399 781 1342 837">The terms of reference for the regional heads are very clear on what they shall do in terms of management and control. Projects are developed and implemented at field missions.</p> <p data-bbox="399 857 1385 913">The operational budget that constitutes around 93% of the total budget is a dynamic process and changes according to the level of activities/projects at any given point in time.</p> <p data-bbox="399 934 1174 960">Growth is justified by that migration is growing and becoming more complex.</p> <p data-bbox="399 981 1366 1061">The entire IOM structure is based on that IOM must “run after money”, it must be innovative and risks being too innovative. There are no very clear objectives for IOM and consequently no clear indicators, for the organisation or for individuals in the organisation.</p> <p data-bbox="399 1081 1382 1225">An important matter is if IOM has been able to maintain the same capacity and has access to sufficient resources to provide services with high quality. Our interviews have indicated that it not uncommon that IOM declines some proposals or let in other actors in their programmes. The few examples of that expected standards have not been met, does not change the overall picture of quality.</p> |
| Decision-making processes and delegation procedures;         | <p data-bbox="399 1234 1390 1377">There are different processes with different decision making structure. Once a project has been agreed and structured and given a project code, the decisions rest with the project manager. This project manager reports to the Head of Mission regarding results of projects, including deviations from budgets or scope of project. This is stated in the ToRs for Head of Missions. The ToRs for Regional Heads explain the similar sequence of reporting and decision making.</p> <p data-bbox="399 1397 1406 1541">The process for deciding on new projects is usually started at the field level. It must be remembered that it is the duty of Heads of Missions to look for new projects. The Standing Committee is involved in discussing projects of choice. The DG office gets info as part of the structured quarterly reports and may react. There is a culture of copying mails which also provides opportunity to react on whatever ground.</p> <p data-bbox="399 1561 1401 1617">The endorsement of projects shall be done at HQ level, in reality the actual decision has often been taken on the ground.</p> <p data-bbox="399 1637 1406 1718">There are other principles guiding decisions, such as administrative check lists and policies that countries shall be in agreement, that clearance with donors on a principle and specific level shall be made as part of the decision process.</p> <p data-bbox="399 1738 1398 1881">One has to look for clear delegation and decision making procedure, it would be preferred if clear decisions ladders are easily retrieved. IOM's instructions to lower levels are more geared towards describing the roles and expectations on different staff layers, rather what to accomplish than how to do it and within which framework. However, the system seems to work in this highly decentralised organisation.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

| Question/Issue in the ToR                                                                                                            | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Mission statement/role of governing board:                                                                                           | <p>The Constitution is the base, from that IOM defines 5 main principles, called purpose and functions. The next step is the IOM strategic focus, the so called 12 points. The Council, where each member state has a place is the highest authority and determines IOM policies. The Executive committee, elected by the Council, examines, reviews the policies, operations and administration. The Standing Committee of Programmes and Finance (SCPF) discuss mainly programmes, budgetary and financial matters.</p> <p>The operations of the governing structure are transparent and documented, in terms of what is brought up from the administration. The constitution also regulates what the governing bodies shall do and decide on. The constitution regulates ways and means of member states to bring matters up for discussion and decision</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Planning processes and the use of the activity plan as a guiding instrument;                                                         | <p>There is no specific activity plan that guides the planning process. First, there is a project planning handbook as well as many operational manuals. There is a summary of the planning process. In summary, IOM has sufficient numbers of general planning guidelines.</p> <p>IOM is a service provider organisation. The so called “projectization” is a ground principle. In business terms it has a project portfolio that constantly changes, increases or decreases and changes in profiles. The main service areas manage its project stock and renew it. IOM being a highly decentralised organisation depends on actions taken on country level. It is an important task of the decentralised leadership to find new projects and manage the current ones well</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| System for project management, division of decision-making and implementing roles and responsibilities between HQ and field offices. | <p>IOM has a large number of project management guidelines, principles and handbooks. All these documents give a picture of a well managed and structured organisation. The evaluation system and principles are well structured and evaluations are done as could be expected, internal as well as external evaluations. More evaluations can always be done; but IOM does not intend to use more of their administrative budget for evaluations but welcomes suggestion from donors to insert costs for evaluations in the project budgets.</p> <p>It is quite clear what decisions can be taken by project managers, Head of Missions/Regional Heads and what must be endorsed at HQ level and what is brought up to the Executive Committee to discuss. In principle, the Council approves the blue book where all current projects are included. The DG office is informed of all projects coming close to being defined and can react if they so feel. The different management levels at HQ should also react if anything comes up that is questionable for different reasons. There are not many projects that have been stopped at HQ level, but this does not mean that the process is weak. The IOM mandate is wide. In terms of accountability for agreement of projects, this rests primarily with HQ as it relies on the IOM system to identify projects that could be questionable from an IOM perspective. We could find no example of any major IOM project that HQ had not been aware of.</p> <p>The creation of the administrative offices in Manila and in Panama has considerably strengthened IOMs capacity for administration, accounting, HR management and financial control</p> <p>The systems for control and guidance reflect the highly decentralised organisation. On a more formal note, the control system of what is appropriate or not for IOM to deal with, if IOM has capacity of not, seems to depend more on personal initiatives for information and reactions on higher levels that requires corrective action.</p> |

| Question/Issue in the ToR                                                                                        | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>3.1.2 Administrative systems and routines</i>                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Are there documented and clear orders of delegation and decision-making between head office and country offices? | <p>IOM is characterised by delegation of powers to the field missions and to a project manager for each project. There is no general decision ladder in IOM, and there is no formal delegation of decision making powers at Head Office to Head of Departments. There is a proper segregation of duties for financial internal control, see 3.1.3 below. Heads of Missions with regional functions are expected to carry out their functions in close collaboration with IOM Chiefs of Mission in the individual countries of the Region. Regional Offices has more of a supporting role than a management role in relation to the Country Missions. The regional offices also have resources from the administrative budget, making it easier for them to support project development. Regional Directors of Health have a special responsibility for supervising the health activities in their respective regions. Country missions report through the regional offices (with the exception of the Mission in Sudan). Heads of Country Mission, regional Missions and Special Liaison Missions have brief but clear Terms of Reference. The Mission Heads are required to:</p> <p>“In carrying out your responsibilities, you should seek guidance as necessary from your Regional Representative and from headquarters, particularly when engaging in activities requiring the technical expertise of specialists in administration, health and other service areas. Significant differences of view should be reported promptly to DGO for resolution.”</p> <p>A project must be endorsed by someone else than the project developer. In the category Emergency and Post Crisis, all projects must be endorsed by the regional office as well as the headquarters. In order to start a project and get access to funds it is necessary to get a project code. Each project code has one Project Manager who explicitly accepts the responsibility for an account. In October 2007 The Division of Accounting took an initiative to verify the status and assignment of Project Managers to established project codes and in writing clarifying the financial responsibilities of Project Managers.</p> |
| Is there a system for internal control and communication;                                                        | <p>The general concept and principals for internal control is described IOM General Bulletin 1430, May 2006.</p> <p>We have reviewed the Audit Statements and the report by the External Auditors for the years 2003–2007. The general impression of the audit reports are that IOM, from a financial perspective, is a well functioning organisation. No extraordinary items or amounts have been detected by the Auditors during the five year period. The reports explicitly states that the Auditors in there testing have found the internal control satisfactory in the Administrative Programme as well as in the Operational Programme. Important issues brought up by the auditors, sometimes based on the cooperation with IOM internal auditors, has usually been addressed by IOM. Examples are a new financial management system, currently being rolled out world wide, clarifying the organisational structure in Manila Administrative Centre and modernising the audit approach for the internal auditors. For procurement, see below.</p> <p>Late 2007, an audit firm, requested by the European Commission (EC), made an institutional assessment to provide assurance that the four pillars Accounting, External Audit, Internal Audit and Procurement are established at IOM and operational to a satisfactory degree. The overall opinion of the auditor was that IOM at the time benefited from a robust internal control environment, which is based on the principles of proper segregation of duties, internal control and the adequate management control of financial reporting. The auditor’s opinion was that this provided reasonable assurance that mechanisms are in place to ensure that funds will be used for their intended purpose. Some recommendations were also made for improvement regarding procurement, the financial statements and internal controls and procedures of IOM. Some of the more important were clear guidance on who can sign contracts of different types and values, different proposals to further improve procurement.</p>                                                                                                                  |

| Question/Issue in the ToR                                                                                                                 | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|-------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Are there written rules and regulations for purchasing procedures applicable to the whole organization (head office and country offices); | <p>There are documented procedures for procurement, general procedures as well more specific procedures for purchases between 50,000–200,000 USD and above 200,000 USD respectively. Large offices have procurement officers and small offices a centralised procurement focal point. The procurement guidelines states that purchases over 1,000 USD require three bids documented by quotations. There are, however, a number of exceptions to this rule:</p> <ul style="list-style-type: none"> <li>• there are less than three vendors in the vicinity;</li> <li>• there is a valid long term agreements which are annually reviewed against offers from two other vendors;</li> <li>• a replace order are placed within six months at the same conditions;</li> <li>• purchasing is done via UN procurement sites, e.g. UNDP's Inter Agency Procurement Service (IAPSO);</li> <li>• purchases in designated emergencies, as determined by the Director, Manila Administrative Centre;</li> <li>• when the change of the vendor will have detrimental effects on the warranty and/or after sale services of existing equipment (IT, telecom);</li> <li>• when Donor procedures specify a more stringent requirement.</li> </ul> <p>Purchases up to 200,000 USD are not so often done in open tender but in more stable relationships to the vendor and by requesting at least three quotations from different vendors. For purchases over 200,000 USD competitive procedures for competitive sealed bidding or e-bidding is mandatory. There are no requirements on making the result of competitive bidding public, but we have been informed that this is a generally used practice.</p> <p>During 5-year period for which we have reviewed the external audit reports, the procurement procedures has been further developed by IOM and found to be appropriate by the External Auditors. The last years the Auditors have concluded from their testing that the field missions follow the established procedures.</p> <p>In the institutional assessment requested by EC the auditors recommended different measures to further improve the procurement.</p> |
| Is there transparency in IOM's own purchases? Are decisions and the justifications made public?                                           | See above.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Is there a "whistle blower" function in place with regard to corruption or other type of misconduct?                                      | A Policy on Reporting Irregular Practices, Wrongdoing and Misconduct has been drafted with the intention to be issued as a General Bulletin. According to the draft policy IOM staff regardless of their employment terms or status are obliged to report on irregular practices, wrongdoings and misconduct. The first point of contact should be the appropriate hierarchical entity. The recipients of such information are required to report the substance of the more serious allegations to DMC or the Executive Officer. The identity of staff making the report will be protected. The objective of the policy is primarily to prevent irregular practices, wrongdoings and misconduct.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Are there procedures/ routines in place that enable measures to be taken in case of embezzlements?                                        | <p>IOM has published Fraud Awareness and Prevention Guidelines. The guidelines include definitions of fraud, description of different types of fraud, risk assessment and prevention measures as well as detection of fraud and suggested actions to take.</p> <p>Office of the Inspector General carry out investigations in case of suspected embezzlements.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>3.1.3 Financial control</b>                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Routines for monitoring agreements and of obligations in agreements;                                                                      | <p>The main responsibility agreements and obligations in agreements lies with the Project Manager. There is also a Project Information Unit responsible for a database where all main project documents are stored, for example the Project Document, Agreements with Donors, Contracts, Report so donors. The documents are accessible from the database world wide. The Project Information Unit is also responsible for keeping track of reporting dates and to remind the Project Manager. All reports to donors are reviewed by the Donor Relation Division at headquarters before they are submitted. The Accounting function also has to endorse the financial report to donors.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

| Question/Issue in the ToR                                                                        | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|--------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Systems for transfer of funds and cash management;                                               | <p>Transfer of funds and cash management is dealt with in Accounting Procedures for Field Missions. The Division of Treasury is responsible for the receipt, custody and disbursement of IOM funds. For effective cash management and in order to minimize foreign exchange and country risk exposure and maximize interest income, all IOM funds are managed centrally, at HQ.</p> <p>IOM field mission funds (both cash and bank) are to be kept to a minimum level at all times.</p> <p>Project funding should be paid to a HQ bank account and cash requested as needed according to section 3.5. Cash management is a completely separate issue from project management. IOM's policy is not to open new bank accounts or use separate bank accounts for each donor or activity. Donors and project funds are tracked through a unique project code not through separate bank accounts. Projects accumulate all income and expense for that activity.</p> <p>The external auditors has pointed out that procedures for cash handling and cash reconciliation can be improved at Missions operating in a difficult environment with limited banking facilities, a difficulty the Inspector General also mentioned in out interview.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Rules and system for budget follow up;                                                           | See internal controls above.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Main sources of funding;                                                                         | See Section 1 of the report for an overview of IOM and its humanitarian activities.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Routines, rules and regulations for auditing at all levels;                                      | <p>The systems for external and internal audit were reviewed in the institutional assessment requested by EC.</p> <p>IOM is audited as one entity, covering the headquarters as well as all field missions. The Office of the Auditor General of Norway has been the External Auditor of IOM since 2001. The Auditors have visited 4–6 field missions each year, with the exception of a top of 10 year 2005 and only one visit to the Administrative centre in Manila year 2003. The audit has focused on financial auditing.</p> <p>Within the Office of the Inspector General there is an Internal Audit Function in IOM with 2 internal auditors and 2 compliance officers working with internal audit. Offices to audit are selected based on a number of established criteria assessing risks. Emergency activities are considered as a special risk. The Manila Administrative Centre are visited every year and missions with Regional Functions and larger missions are visited every second year, while other missions are visited to the extent possible with available staff. Currently one of the positions as internal auditor is vacant. The number of offices audit different year were:</p> <p>2000: 19 2002: 34 2004: 32 2006: 25 2008:23 up to August</p> <p>2001: 22 2003: 32 2005: 26 2007: 47</p> <p>After the internal audit reports have been endorsed by the Director General, it is mandatory to implement the recommendations and report back.</p> <p>The two last years the External Auditors has pointed out that the expansion for IOM has created increased pressure on internal audit staff resources. Together with the implementation of PRISM (the new financial management system) the auditors has recommended IOM to assess the need for IT audit expertise and the level of staff resources for internal audit. This has not yet resulted in any additional resources for internal audit. In the Institutional Assessment requested by EC the auditors recommended different improvement of the internal audit. They also expressed the opinion the opinion that the internal audit department is understaffed, considering six internal auditors (including two with IT audit skills related to the new financial management IT system) to be more appropriate than the current level of four posts.</p> |
| Promotion of good adm. and transparency where financing and the handling of funds are concerned. | See internal control above.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

| Question/Issue in the ToR             | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|---------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>3.1.4 Personnel administration</i> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Overall staff policy;                 | <p>Every year, IOM provides an HR report to the Council. There is an overall HR policy that resembles a general and modern HR approach but is not very IOM specific. IOM is not the only organisation that has difficulties in making the HR strategy explicitly strategic as a support to the organisational objectives. These documents include a number of statements regarding ambitions for development and change, adapted to the period in question and in support of the changes within IOM.</p> <p>There is a regulatory framework in place, currently up for a more major update and revision. The present staff rules and regulations have not been thoroughly revised since 1990. They have become cumbersome following the necessary introduction of several changes in numerous General Bulletins and General Instructions, without their being actually incorporated into a comprehensive framework. The new document, to be fully applicable during 2008 has been split into two documents to better reflect and clarify the overall strategy and policies as laid down in the Regulations, and the fundamental procedures as outlined in the Rules. Many administrative details have been transferred to annexes. The primary aim is to be more inclusive and to simplify or eliminate any unnecessary distinction between Officials and Employees, a distinction made more than 50 years ago. The reference to Staff Member is more in line with practice throughout the UN common system.</p> <p>The Scope and Purpose of the HR documents have not been altered. The Regulations are supposed to be followed consistently in each IOM location. The UN Common System is the reference point, and acquired rights and entitlements of staff are secured. While only the Regulations require approval by the Council, the Director General reports to the Council on any or all changes to the Rules.</p> <p>The project management manual also includes regulations on personnel administration and people management.</p> <p>The quality of the regulatory framework is however up to internationally best practices</p> <p>Delocalisation of operational HR matters to the Manila office means that HR management and development resources become cheaper, more value for money, assuming that the general competence is the same and there are no indications that this is not the case.</p> <p>The HR principles and regulations are to a large extent similar to that of the UN system, like for salary and remuneration standards.</p> <p>A general assessment of this regulatory framework indicates that it has acceptable standards and a review of challenges for the HR functions seems to be well in line with the developments within IOM. There is statistics on the HR chain, from recruitment, selection, capacity building, performance management to termination of office. An overall assessment of these figures indicates that there are high HR ambitions. The volume of capacity building seems to be rather limited however, considering the large number o staff</p> |



| Question/Issue in the ToR                              | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|--------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Policy for receiving/requesting secondments;           | <p>There are different categories of staff under the general heading of secondments:</p> <ul style="list-style-type: none"> <li>• Associate Experts/Junior professional officers, in total around 20 individual for the last year. These are funded by member states. There is no specific objective for this category other than statements such as “to help IOM and the member states to address key migration and development goals, besides offering a rich learning experience for young professionals”. The IOM ambition is to extend this opportunity</li> <li>• Staff exchange, secondments and loans in and between IOM and member states. This seems to be a quite limited group and there is no specific policy for this category</li> <li>• Internships, meaning students coming from universities and the like. This is the largest group, comprising around 350 people per year, for 2007 25% placed at HQ</li> <li>• Gratis staff, supported by new guidelines and this is staff with a high level of competence and experience and supplied by governments as well as by international organisations</li> </ul> <p>The yearly HR reports provide statistics on the number of staff in the categories above, as well as nationality and gender. The statistics for the last 5 years do not show any dramatic changes in number of these staff categories.</p> <p>IOM has identified two focal points for associate expert matters, one at HQ and one in Manila. These are tasked also to handle matters of principle.</p> <p>There is thus no comprehensive policy statement that guides the placement of all these categories of people. This probably results in that such people are placed within the IOM organisational framework and contributes to the ongoing work in accordance with their abilities and the specific needs of that work place.</p> <p>If the organisation seconding a person requires specific conditions for the secondment to apply, this must be made clear in the conditions for supplying the expertise</p>                                                                                                                                                                 |
| Recruitment and selection, emergency response rosters; | <p>IOM has grown considerably. For the year 2007, the staff increase was 13% and the number of field offices grew from 290 to 340. The Manila office is from 2008 taking care of all HR matters whilst policy and guidelines remains at HQ.</p> <p>Thorough yearly statistics is provided for the IOM category officials. With the application of the new HR regulations, these categories will not remain as is the case now. The staff category officials is for the year 2007, 940 people whilst “others” constitute around 5000 people.</p> <p>The more elaborate HR statistics rather concern the category officials. These have increased from 630 staff to 980 staff during the last 5 years whilst the other group of staff has increased from around 3.000 to 5000 for the same period.</p> <p>The staff turn over in the category officials is on a relative low level, around 7%. This recruitment of such staff is mainly through vacancy notices.</p> <p>Another form of staff mobility is internal movement, also this representing between 30–50 movements per year, dominated by movement from field to field and reassignment within same duty station.</p> <p>Selection follows normal principles for job descriptions and duties as specified in vacancy notices. There are systems in place for pre-screening and ranking of applicants, the performance appraisal system is an additional source of information.</p> <p>In emergency and post crisis operations, the search for staff is done on mission level and formal decisions are made in the Manila office. There is an internal emergency response register. This is complemented by different sources of information regarding suitable competence. IOM has been invited to use information of suitable staff kept by other organisations. IOM is positive to help from other Swedish organisations.</p> <p>IOM applies modern principles for recruitment and selection that also seems to follow common UN practices.</p> <p>In cases of rapid recruitment, mistakes can often be made. The bulk of staff is however on short term contracts making it possible to get rid of non performers and persons not appropriate for the tasks</p> |

| Question/Issue in the ToR                                                                                                    | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>3.1.5 Management of activities</b>                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <i>Planning of humanitarian activities</i>                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Are there clearly formulated objectives for IOM's humanitarian work in the organization's strategies and steering documents? | See Section 3 and 4 of the report.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| How does IOM plan and structure its needs analyses and its priorities?                                                       | <p>IOM may carry out needs analysis as part of or lead (e.g. the earthquake in Pakistan) for the coordinated humanitarian response or as part of their own preparation or implementation of projects. The decisions on how to plan and carry out the assessment are made in each project on the field, in cooperation with the partners involved in the emergency response. IOM's Emergency Operations Manual 2002 includes a chapter on Assessment and planning, for example covering advice on how to put together an assessment team, what general methods to use, what issues to cover. The manual is clear in requiring emergency assistance to be based on systematic needs assessment for different groups. There is no prescribed structure for assessment reports, but issues to address are listed in the Manual. According to interviews IOM also systematically tries to involve the affected population in the design and implementation of the assistance, as required by IASC Gender Handbook in Humanitarian Action, 2008, endorsed by IOM. IOM or other organisations have over the years developed different assessment tools that may be used in specific situations. One example is <i>Psychosocial Needs Assessment in Displacement and Emergency Situations</i> an assessment tool used by IOM Middle East in various assessments in Africa and the Middle East in coordination with humanitarian NGOs and UNICEF.</p> <p>It is not appropriate to say that IOM prioritise its emergency operations, or such operations in relation to other activities. IOM is "projectized" and perceive itself as delivering services to host countries and affected populations if these services can be funded by donors. IOM does not accept any real responsibility to be able to provide such services, and in principle does not have any own resources that can be used. Thus, IOM's ability to deliver humanitarian assistance depends on the acceptance by the host country, financing by donors, and IOM's assessment of their capacity or ability to build capacity for successful implementation of the emergency assistance. To some extent, however, IOM's role of cluster lead for CCCM (co-chaired with UNHCR) changes this situation and imposes requirements on IOM to develop their capacity. In the absence of a policy for IOM addressing issues of capacity and preparedness for emergency situations, it is not clear to us what IOM's view in these issues is.</p> |
| Does IOM systematically perform analyses of its external working environment as part of the planning process?                | <p>No. IOM has a very clear project focus and has not made any systematic studies of its working environment, no studies of client satisfaction or of how IOM is perceived among partners. There is a rather well structured planning process on the project level. Depending on the operations, needs and possibility to plan, different field mission may also have different types of strategies or plans – but there is no universal planning system implemented. The two main planning mechanisms on the overall level is the budget process, leading to a compilation of projects with anticipated funding into the budget (the <i>Blue Book</i>) and the development of Migration Initiatives – Appeal, a compilation of project proposals for fundraising purposes. While the budget process is important for allocation of the Administrative budget and Discretionary Income, the original budget only covers a fraction of the operations that will be carried during the year. For example year 2007, the original budget only covered 58% of the actual expenditure in the operational programme by the end of the year.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

| Question/Issue in the ToR                                                                    | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| How does IOM select and decide on projects, on what grounds and criteria, IOM's added value? | <p>There are three mechanisms for IOM to select projects. Within the coordinated humanitarian response the Humanitarian Reform and the cluster approach has made all actors including IOM to better coordinate its activities. The principle in the field is that the organisations being in the best position should deliver the assistance. As an example IOM is cluster lead for Camp Coordination and Camp Management (CCCM) in Timor Leste despite it is a conflict situation for which UNHCR has the global cluster lead. On the other hand there are examples where UNHCR is cluster lead for CCCM in natural disasters, despite IOM role as cluster lead on the global level. Being cluster lead on the country means a responsibility to coordinate different actors in order to provide the best possible humanitarian assistance – not necessarily providing the services.</p> <p>IOM's two other mechanisms for deciding on projects are through bi-lateral project development and through development of other projects in integration with host countries, donors and partners. All emergency projects need to be endorsed by the regional office as well as EPC. EPC do not have any documented criteria used for endorsement. Projects falling under other IOM departments are not endorsed by EPC even if there are emergency projects in the same country.</p> <p>According to the Emergency Operations manual, the following criteria can help with a decision whether IOM should get involved or not:</p> <ul style="list-style-type: none"> <li>• Is there a need based on systematic assessment</li> <li>• Does IOM have the operational capacity to respond</li> <li>• Assess if IOM has comparative advantages <ul style="list-style-type: none"> <li>– have the technical expertise</li> <li>– have knowledge of the situation, region, country</li> <li>– is the best placed organisation to intervene</li> <li>– is an appropriate use of limited human and financial resources</li> <li>– what are the organisational and political implications</li> </ul> </li> <li>• Is action within IOMs mandate</li> <li>• Is the project fundable</li> </ul> <p>Our understanding is that criteria 3 not necessarily always is applied, and we have also been informed about examples of projects that are clearly not in IOMs mandate, e.g. tendering for road construction without a gap-filling situation, administer EU Election Observers. Internally expansion and growth has been an explicit, if not formal, objective in order to become a global organisation. On the other hand we have noticed that the view on what IOM should do and not varies within the organisations, with some officers having the opinion that IOM should focus on core areas were they have, or can develop, a well established expertise and methodology. On the other hand many see it as appropriate for IOM to be a gap-filler when needed.</p> |
| How are target groups selected in relation to impartiality and neutrality?                   | <p>The IOM Emergency Operations Manual state that “Neutrality and impartiality (meaning that, in principle, all engaged groups are entitled to avail themselves of the same humanitarian services) must be maintained by IOM. This intent should be clear to all parties.” The basic principle is to select target groups based on the needs assessment made in an initial phase of the emergency – by IOM or other actors, in coordination with UN Humanitarian Country Team or other UN Country Team that is in place. When IOM's activity is not part of coordinated humanitarian assistance the selection of target groups are decided in discussions with the host country and the donors, within the framework of impartiality and neutrality.</p> <p>The Project Planning handbook regulates the project cycle. Here reference is made to the importance to ensure that the target group is well described, but does not refer to ensure that any overriding principles shall be followed. This is logical per se as the Planning Hand book is not designed only for humanitarian projects</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

| Question/Issue in the ToR                                                                                                                                                               | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Quality assurance – how does IOM relate to the humanitarian principles, the Code of Conduct, Sphere standards?</p> <p>Does it follow generally accepted humanitarian principles?</p> | <p>“Assistance and protection must be impartial. Emergency action includes both assistance and protection. These should be provided in accordance with International Law, which includes International Humanitarian Law, International Refugee Law, International Human Rights Law (especially the Universal Declaration of Human Rights and the Convention on the Rights of the Child) and recognised standards such as the Guiding Principles on Internal Displacement. The principle of impartiality means that emergency assistance and protection should be provided to victims irrespective of race, creed or nationality, in an impartial and neutral manner.” IOM Emergency Operations manual, page XIV–XV.</p> <p>IOM has signed up for and takes active part of the Humanitarian Reform and the coordinated humanitarian assistance – which also means an acceptance of the framework provided through the mechanisms for coordinated humanitarian response. This is acknowledged in our interviews within OCHA, ICRC Code of Conduct, and the endorsement of this as Code of Conduct for NGOs in Disaster Response by the Standing Committee of Humanitarian Response (SCHR), has not been signed by IOM or any UN agency. IOM does not see the humanitarian principles as legally binding. We have been informed that a discussion has started within IASC on the interpretation of the humanitarian principles since the members of IASC do not have a common interpretation on these principles.</p> <p>IOM uses the Sphere Humanitarian Charter and Minimum Standards as a point of departure for humanitarian assistance in emergencies. The standards are however adapted to the situation on the ground. When there is a coordinated emergency response agreements on what standards to follow is made through the UN Humanitarian Country Teams. IOM does not explicitly consider the Sphere Standards to be the accountability framework their founders intended them to be.</p> <p>See further – Section 3 IOM as a provider of humanitarian assistance.</p> |

| Question/Issue in the ToR                                                                                                                                                                                                                                                                                                                                      | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Humanitarian co-ordination</i>                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| How does IOM co-ordinate with other humanitarian actors in the field, mainly the UN system? Does IOM participate in the UNCT/local IASC and CHAPs? How does IOM participate/become involved in UNCT/country level IASC? If not, why not? How does IOM ensure that its work is complementary to that of other organizations, in particular UN funds/programmes? | <p>The <i>Inter-Agency Standing Committee (IASC)</i>, established in June 1992 in response to UN General Assembly Resolution 46/182, seeks to strengthen humanitarian assistance. The IASC is a forum for coordination, policy development and decision making involving key UN humanitarian agencies, IOM and Red Cross Movements and partners NGOs. One of the IASC's main initiatives is the Cluster Leadership Approach.</p> <p>In 2005, as part of the Humanitarian Reform Process (<a href="http://www.humanitarianreform.org">www.humanitarianreform.org</a>), the IASC identified nine (9) areas of humanitarian activity in need of strengthening. For each area, responsibility has been assigned to an IASC principal or full member.</p> <p>IOM has played a substantial role in the Cluster Approach assisting in the start up of many of the clusters as well as developing the cluster strategies. At the Global level IOM is the lead of Camp Co-ordination and Camp Management (CCCM) Cluster for Natural Disasters in which it co-chairs with UNHCR; while actively participates in the Logistics, Early Recovery, Health, Emergency Shelter and Protection Clusters.</p> <p>At the Country level, IOM has also taken active roles in the clusters both as partners and leads. Examples of a lead role for IOM are: Pakistan (Emergency Shelter), Colombia (Early Recovery with UNDP), Timor Leste (CCCM), Ethiopia (CCCM), Philippines (CCCM and Protection with UNICEF-children) and has played an active role in Uganda, Yogyakarta and Mozambique.</p> <p>The <i>Cluster Approach</i> is a commitment undertaken by IOM that enhances IOM's ability to assist and protect all beneficiaries and particularly promotes the collaboration between partners assisting internally displaced persons (IDPs). IOM sees this as an opportunity to strengthen existing operations with better capacity and tools, whilst playing an important role in the Humanitarian Country Teams (CT). The cluster approach focuses on two levels:</p> <p>The Global Clusters focus on preparedness and standard setting. The general responsibility and accountability of the Global Cluster Leads, entails:</p> <ul style="list-style-type: none"> <li>• Preparedness for response for new crisis and certain current crisis;</li> <li>• Capacity Assessment and developing capacity within the cluster;</li> <li>• Commitments to contribute to these functions</li> <li>• Mechanisms for delivering on commitments.</li> </ul> <p>All members of specific clusters will have a role in the advancement of the cluster. The development and enhanced of partnerships at the global level is a key element of the cluster approach which directly impacts the field responses.</p> <p>The work carried about by the Global Clusters are intended to provide the field based clusters better tools and guidance to provide better assistance and protection to the beneficiaries.</p> <p>The Country Level Clusters are both an operational and coordination mechanism. They ensure that standards, set by the global cluster, are met and gaps are filled in particular crises. Either a cluster lead or a cluster member, IOM will carry out operations in support of the coordinated strategic sector response. Flexibility is key in the application of the cluster approach at the country level. In principle, the cluster leadership approach should be applied to all areas, but this should be tailored to specific country circumstances.</p> <p>Experiences in Pakistan or Philippines have shown that country clusters may not necessarily replicate the global clusters and that cluster leads at country level do not have to correspond to global cluster leads. What is important is that country-level clusters address all the key gaps in humanitarian response in that particular country and that IOM is able to respond both in a leadership role and with its strong operational ability.</p> |
| How does IOM participate/become involved in IASC in Geneva?                                                                                                                                                                                                                                                                                                    | See main report, Section 2 and 3.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

| Question/Issue in the ToR                                                                                                                                 | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| What is IOM's role in implementing the humanitarian reform agenda, in particular the organization's role as cluster lead for shelter in natural disaster? | See main report, Section 3 and 4.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| How is IOM perceived by civil society and by NGOs/INGOs?                                                                                                  | We have interviewed representative of the Steering Committee for Humanitarian Response and ICRC. The perception of IOM follows general perceptions that we have noted from other interviews. In terms of IOM acting within the coordinated humanitarian response, IOM is seen as an effective and flexible service provider, as being as active and positive as IOM could possibly be in terms of its limited HQ resources. It is difficult to understand how IOM actually functions and is steered and how it has managed to grow into what IOM is. IOM does not have a principled humanitarian focus and may not need to have a different approach in view of what IOM is doing within the humanitarian field: IOM however delivers expected results. IOM is more than welcomed to establish a more clear IOM value ground in the humanitarian field; but there are no examples of IOM on project level being in breach of humanitarian principles.                   |
| <i>Efficiency and effectiveness of the programmes</i>                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Do its humanitarian programmes include a sustainability and long term aspect? How do they enable transition?                                              | See Section 4 in the main report. The following is an extract from an IOM document:<br><i>"Emergency assistance should strengthen not weaken future development. Emergency assistance should not hinder sustainable, longer term human development. It should not make the beneficiaries dependent on external assistance. IOM Emergency Operations Manual. Coordination may help integrate emergency activities with rehabilitation, reconstruction and development activities."</i> Page XV–XVI<br>The issue about sustainability and IOM exit is a weaker part of IOM. The IOM culture does not foster an exit strategy. One aspect is that a specific project may come to an end. The other aspect is the innovative IOM climate to suggest new projects under the very wide migration umbrella. IOM uses all means available to find justification for a project proposal, to ensure government support for a project and to approach different donors for funding |
| Are the programmes designed in such a way that the results are measurable?                                                                                | The project manual requires projects to be designed in a log frame structure and the reporting to follow that structure. In summary, if the IOM instructions are followed, the results should be measurable.<br>When studying evaluations of IOM projects, see Section 5, we have found that IOM in many cases do not structure the projects themselves. Such projects may follow different formats and it is thus difficult to find common denominators when comparing project results.<br>In the recommendations to this report, we suggest that when Sida considers to fund projects within the humanitarian field, that such projects are designed in a log frame format and also designed in such a way that the OECD-DAC criteria can be assessed.                                                                                                                                                                                                                |

| Question/Issue in the ToR                                                                                      | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|----------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Do they have a documented system in place for monitoring and evaluation, and clear guidelines for evaluations; | <p><i>Planning and Monitoring</i></p> <p>The main report dwells substantially on IOM planning. In summary, the yearly plans and the budget known at the beginning of the year are found in the Blue Book and supplemented by special reports to the Council during the years of operation.</p> <p>In the report, we dwell comprehensively on the IOM strengths and weaknesses in terms of planning, see Section 2.2.</p> <p>On the project level, the Project Development Hand book, provided guidance. This handbook refers to monitoring, which is the responsibility of the project manager. The reporting system provides information to HQ on development of projects, with an emphasis to report upwards on problems and deviations from plans. Some larger IOM offices, like Brussels and Washington have monitoring assignments in regards to projects.</p> <p><i>Evaluations</i></p> <p>It is the Office of the Inspector General (OIG) that is the IOM focal point for monitoring and evaluation. It is not a large organisation; it comprises 8 people of which three are regionally placed. It is financed through the administrative budgets and any expansion of OIG would encroach on other parts of the administration.</p> <p>OIG works from the IOM updated project list, managed from the Manila office. OIG develops a yearly report action plan that is endorsed by the DG office. This plan may focus on specific projects; it may include thematic elements as well as specific IOM handling of matters such as procurement. OIG works from general selection criteria, that consider aspects such as if projects are new/innovative, risk assessment, financial exposure, concerns flagged by OIG or otherwise known, emergency aspects as well as other criteria. The plan includes around 50 projects for every year. The missions for internal audit can be traced back and this list has been studied. All evaluations are listed on the web site. Yearly Audit reports go to the Executive Committee. One main observation is therefore that IOM is very transparent and pragmatic when it comes to evaluations and the findings, more open than the UN system that is based on the single audit principle</p> <p>The Heads of missions have responsibility to oversee the operations under its office as well as programme implementation, quality of reporting, early warning to HQ on difficulties on management of personnel, finances and projects in relation to host governments and other partners.</p> <p>OIG has developed evaluation guidelines from 2006, of good and pedagogical quality. On a general note, IOM is positive to having evaluations financed as part of the projects and reluctantly notes that too many donors and governments do not want a project to bear such evaluation costs. Some projects have inbuilt evaluations that are financed through the project budget and such evaluations are then carried out over and above the OIG missions. There are also examples of joint evaluations.</p> <p>At IOM we have had lengthy and open discussions with OIG. The general reflections are that IOM is quite good at analysing outputs and weaker in terms of analysing effects, should concentrate more on assessing internal procedures and their relevance for reaching objectives, that emergency situations (that IOM is generally good at) includes many instances for mistakes.</p> <p>One area we discussed is that it would be appropriate for OIG to do a thematic evaluation of projects falling within the Emergency and Post Crisis area, projects connected to the cluster approach which, if done, would closely connect to Humanitarian projects</p> |
| Are the results of the evaluations used to improve new and on-going interventions?                             | <p>As far as we can see, IOM takes the results of evaluations seriously and tries its best to change situations. The actual actions are usually taken in the field.</p> <p>We asked many IOM this question, how sensitive are they to criticism, emanating from any form? Judging from interviews, the critique, relevant or unfounded in the view of IOM staff, seems to be discussed a lot within the organisation. Sometimes the critique is accepted, and in other cases, IOM justifies its actions.</p> <p>In general, IOM seems to be well aware of the views on IOM</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |



| <b>Question/Issue in the ToR</b>                                                                                                   | <b>Brief description</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Do the results-based reports on the programmes include and assess outputs (resources) in relation to outcomes/results              | <p>According to more critical IOM representatives, IOM is better to report on output than outcome, irrespective of that the reporting guidelines stress the importance of effect and outcome assessments.</p> <p>Also refer to Section 5 in the main report where samples have been taken of evaluations and the issue of efficiency and effectiveness have been studied</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Do the programmes use external consultants for evaluations?                                                                        | <p>Yes, the transparent OIG list of yearly evaluations gives a good picture of evaluations taken place. As the major parts of evaluations are external, there is domination by external evaluators. Since the year 2000, the following has happened:</p> <p>OIG initiated evaluations 20 Internal evaluations 9 External evaluations 70</p> <p>OIG is a rather small organisation, composed of 8 people. One of them works with evaluations and one with Rapid Project Assessments.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <i>External effectiveness</i>                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Are IOM's general steering documents and operations at country level in line with each other?                                      | <p>There is a general indication of what each country shall report on a quarterly basis – headings are given. The content of each heading naturally varies. Some countries have developed yearly country plans; these do not follow a set IOM standard even though the countries learn from each other. It must be stressed that IOM is “projectized”, it is a business and the operations vary substantially between the countries. Most guiding documents in relation to concepts and operations are produced at HQ level and therefore apply throughout. There does not seem to be a need to adapt these general principles and guidelines to regional and country differences</p>                                                                                                                                                                                                                                                                             |
| Does IOM compete at country level for financial donor support for projects outside its priority area of work?                      | <p>It must first be established what the IOM views on its priority areas are. The interviews with external representatives illustrates that this is a core area of difference between IOM and some other organisations and donors. What are the core areas of IOM? Some anecdotal information coming from external viewers is that IOM regards itself as a preferred provider of services for any project that concerns people on the move. This view is not necessarily shared by key IOM staff, but their views are expressed in more eloquent terms and come close in content to such more rough statements.</p> <p>The views of donors and other on what they see as IOM core or preferred areas are often more narrow than that of IOM</p>                                                                                                                                                                                                                   |
| IOM's added value – does the IOM focus its work at country level on a limited number of sectors on the basis of their added value? | <p>There seems to be little thought given within IOM – or may be not sanctioned by top management – to that IOM is growing too fast or that IOM does not provide added value on the basis of its own capacity or in relative terms in respect of other organisations. However, there are also examples of that IOM has joined forces with other organisations in projects or have decided to leave it to others. In such latter cases, this has been done more in terms of that IOM is overstretched than on the basis that it lacks the capacity in general.</p> <p>In summary, there is in general a firm belief within IOM that it is not only mandated but also capable to provide any services within its wide mandate and for any part of the process of migration. Hence, the short answer to the question is that IOM does not regard itself as an organisation dealing with a limited number of sector, it works within the wide sector of migration</p> |

| Question/Issue in the ToR                                                                                                                                                                                                    | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Policy and method</i>                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Are there specific policy documents regarding, for example, gender equality, HIV/aids, environment, conflict sensitivity, corruption? Are these policies and methodologies specifically targeted at humanitarian situations? | <p>IOM Emergency Operations Manual, Page 310–311, provide some suggestions on the way gender could be mainstreamed within IOM Emergency Operations, dealing with Assessment of the emergency. Planning and implementing the operation and Post-Conflict intervention.</p> <p>IASC has a cross-cutting working group for Gender, in which IOM participates, that has produced guidelines, tools and documents endorsed by the IASC Working Group or IASC Principals to be used by humanitarian actors in field or policy work. These documents are formally endorsed by IOM in writing or sometimes by e-mail. IOM has a general policy for mainstreaming gender in its operations. IASC has for examples issued policies and guidelines on Gender Equality in Humanitarian Action, 2008, a Gender Handbook in Humanitarian Action, 2008, Guidelines for HIV/AIDS Interventions in Emergency Settings, 2003 see Section 3 for a list of the some of the more important policy and guidelines from IASC targeting humanitarian situations.</p> <p>We have not found policy documents explicitly targeting addressing conflict sensitivity. IOM has internal Fraud Awareness and Prevention Guidelines, see questions under 3.1.2 Administrative Systems and Routines above. The Guidelines has a general character and does not specifically addresses humanitarian situations, even if differences in risk between locations are dealt with.</p> <p>For environmental issue there is no cluster or any working group established under IASC. The homepage <a href="http://www.humanitarianreform.org/Default.aspx?tabid=456#">http://www.humanitarianreform.org/Default.aspx?tabid=456#</a>, however, provide guidance for Mainstreaming the Environment into Humanitarian Response, developed by Environmental Resources Management Limited, and other guidelines developed by UNHCR, UNEP and other organisations. There have not yet been any arrangements for development IASC guidelines or for different organisations (including IOM) to endorse these guidelines from other organisations.</p> <p>Policies and methodologies developed under IASC and the clusters are all targeting humanitarian situations.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Beneficiary involvement. How are beneficiaries involved in programme design? Has IOM taken active part in HAP-I etc?                                                                                                         | <p>According to interviews in IOM the organisation systematically tries to involve the affected population in the design and implementation of the assistance, as required by IASC Gender Handbook in Humanitarian Action, 2008, endorsed by IOM. IOM Emergency Operations Manual reflects such a view but is not explicit in giving guidance for how it shall be implemented. The following are examples of statements in the Manual:</p> <ul style="list-style-type: none"> <li>– Under the heading <i>Basic principles of emergency intervention</i>: “Affected people and communities must participate in any response. The way emergency assistance is provided may be as important as the assistance itself. All victims should be treated as dignified human beings possessing skills and capacities, not as helpless objects.” Page XV</li> <li>– Under the heading Camp Management, one of the main considerations is: “Beneficiaries: Involve them and promote self-reliance from the start.” Page 135</li> <li>– In the section on Monitoring, Evaluation and Standards it is stated that data collection from community service workers “...can facilitate the participation of beneficiaries in operations planning and implementation.” Page 222</li> </ul> <p>Neither IOM nor any UN agency is member of the Humanitarian Accountability Partnership and does not use the HAP 2007 Standard in Humanitarian Accountability and Quality Management. HAP assesses major actors in humanitarian assistance using a set of indicators and rank how the assessed organisations meet the criteria. IOM will be one of the organisations to be assessed. The report will be available in December 2008. Considering that the criteria includes indicators on the framework, quality assurance and accountability IOM it is likely that there will be some shortcomings for IOM in the assessment. However, in HAP’s Humanitarian Accountability Report 2007 from HAP it is described how some intergovernmental organisations have made improvements in incorporating accountability principles and practice into their work. An example from IOM is among those mentioned:</p> <p>“The International Organisation on Migration (IOM) carried out “Village Assessments” to measure the availability of various services in four States in Southern Sudan during 2007, using a methodology aimed at reaching beneficiaries. Interviews were conducted ensuring the proper representation of beneficiaries, with target groups including women, youth and the vulnerable. A variety of interview methodologies are employed, including interviews with individual beneficiaries selected at random (with due consideration to gender/age balance), local leaders and specialized workers (e.g. health and education staff) within the village context. Interviewers are all trained in effective interviewing techniques, data sensitivity, and general protection awareness. (ReliefWeb, Dec. 2007)”</p> |

| Question/Issue in the ToR                                                                            | Brief description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Risk assessments</i>                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| How are risk assessments conducted? Do they result in a plan? Are there scenario planning exercises? | <p>IOMs Emergency Operations Manual states that at the country level, contingency planning and preparedness are generally conducted as a inter-agency process. It also refers to an earlier version of <i>Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance</i>, issued by IASC 2007. IOM do not participate in the sub-working group for Preparedness and Contingency Planning that developed the Guidelines, but have endorsed them through its membership in IASC Working Group. The Guidelines aim to assist Humanitarian Country Teams in preparing to respond to potential emergencies with appropriate humanitarian assistance and protection. These guidelines provide recommendations on how to establish and implement an inter-agency contingency planning process, how to develop integrated plans and monitor ongoing preparedness actions. The Resident/Humanitarian Coordinator is responsible for providing overall strategic leadership to the inter-agency contingency planning process. All members of the Humanitarian Country Team, in particular those with sector/cluster leadership responsibilities, are expected to ensure adequate coordination during the planning process within their respective sectors/clusters and agencies/organizations. The Guidelines covers:</p> <ol style="list-style-type: none"> <li>1. Preparation for and organization of the inter-agency contingency planning process.</li> <li>2. Analysis of hazards and risks, building scenarios and developing planning assumptions.</li> <li>3. Defining response objectives and strategies, management and coordination arrangements and development and consolidation of a response plans</li> <li>4. Implementation, enhancement of preparedness and continuation of the planning process.</li> </ol> <p>On the projects level IOM uses the LFA methodology and tries to be explicit about assumption and risks for the projects. IOM has more than 1600 ongoing projects of different character. On the project level there is no other standard methodology for risk assessments or scenario planning, while such analyses sometimes may be carried out also outside the framework of the inter-agency contingency planning</p> |
| Security issues: Is there a security plan in conflict areas? How is it developed?                    | <p>Whenever a project is developed the aspect of safety and security of the staff implementing the project should be considered, according too IOM Emergency Operations Manual. There is also a checklist for threat assessments and risk analysis in the manual. IOM teams are expected to assess and plan explicitly for risk within a specific emergency context. This should lead to a prioritisation of risks, and the action to be taken, by whom and when, to reduce it, prepare for it, and react to it, if it becomes a reality. Safety (road, fire and occupational) should be considered along with personal and institutional security issues. Service in high-risk areas is entirely voluntary. IOM staff may refuse such deployment if they determine that risks exceed what can be reasonably expected of them. In the most risky areas, for example some areas in Afghanistan IOM does not use own staff, but subcontractors paid to take the known risks in these areas.</p> <p>Since March 1998 IOM is included in the UN security system, the UN Security Coordinator (UNSECOORD). Staff working in areas deemed to be insecure are covered by the UN Malicious Acts Insurance (MAI) provided that security clearance has been issued prior to deployment and if staff abide by official standard operating procedures. In such areas IOM staff are expected to consult with the UN Field Security Officer and as much as possible, follow established transport means and routes pioneered by others and check the monthly security and travel advisory note issued by UNSECOORD. Newly arriving staff should receive a security briefing from the UN Field Security Officer or staff from the office of the Designated Official for Security (DO). The system also include emergency evacuation of staff, e.g. during the security phase 5 of UNSECOORD. IOM follows the analyses and recommendations made in the UN and do not do own analyses or plans.</p>                                                                                                                                                                                                                                                                             |

# Annex VI Terms of Reference



Division for Humanitarian Assistance  
Kristina Gough

## MEMO

1(8)

2008-06-23

### **STUDY OF THE INTERNATIONAL ORGANIZATION FOR MIGRATION's (IOM) HUMANITARIAN INTERVENTIONS**

#### **1. Purpose and Objective**

Sida's support from the Humanitarian Division to IOM has increased since 2000. The contribution in 2000 was 1 MSEK, 2001 a sharp increase to 21 MSEK occurred due to a large amount for Afghanistan operations, in 2002 the contribution was 5 MSEK, 2 MSEK in 2003, again a sharp increase in 2004 and 2005 to 18 and 57 MSEK respectively, due to an extensive support to Sudan operations, 17 MSEK 2006 and again an increase in 2007 to 25 MSEK due to operations in Zimbabwe.

In the light of this financial background and in view of IOM's new strategy adopted in June 2007, Sida wishes to carry out a study of the relevance of IOM's work, of IOM's definition of its work, and the effects of the recently adopted strategy on IOM's humanitarian engagement. The study shall also determine whether the systems for the operational and financial management of IOM are appropriate in order to provide humanitarian assistance as set out by the humanitarian principles.

The study will be used by Sida's Humanitarian Division and the Swedish Embassies that have, or may enter into, programmes of cooperation with IOM. The purpose is to obtain a clear understanding of IOM's main definition of its work, be it migration or humanitarian, and the relevance of IOM as a humanitarian organization. The objective is to obtain an input into the determining factors for Sida when considering working with IOM, geographical recommendations as well as forms and modalities for cooperation with IOM.

#### **2. Intervention background**

The primary goal of IOM, according to the Strategy Document, is to facilitate the orderly and humane management of international migration, and continue its role as a leading global organization focusing on migration management. IOM will continue to address the migratory phenomenon from an integral and holistic perspective, including links to development. To achieve the goal, IOM will focus on the 12 activities laid down in the Strategy.

IOM works on a project-to-project basis, and it has been pointed out that IOM has tended to carry out programmes and activities that are beyond and outside its mandate. IOM is a donor-driven organization: its country offices are often dependent on project funding for their existence as well as for covering overhead costs. The consequences of this can be seen in the elaboration of project



proposals where donor funds are available.

The Consultant shall relate IOM's 12 point activities to the Strategy for Sida's Humanitarian Assistance<sup>1</sup>, the Swedish Humanitarian Policy<sup>2</sup>, and the principles for Good Humanitarian Donorship<sup>3</sup>.

### 3. Assignment

The Consultant shall, with the aid of existing documentation, map out IOM's presence in the field in humanitarian crisis; the total volume of IOM's humanitarian work during 2000-2008; and the results of evaluations performed by IOM during this period in relation to the humanitarian objectives of saving lives, alleviating suffering and preserving human dignity.

With this as the point of departure the Consultant shall analyse how Sida could work with IOM in terms of sectors, geography, and possible conditions for such cooperation.

As a point of departure regarding criteria for evaluating humanitarian assistance the Consultant should make use of the ALNAP Guidance Booklet where appropriate.<sup>4</sup>

After consultations with Sida, the Consultant may also include or exclude areas in order to guarantee that the study is feasible and of good quality.

### 3.1 Mapping and documentation

#### 3.1.1 Organizational structure

- Background and objective of IOM in general with a particular focus on IOM's humanitarian projects and programmes;
- Visions, goals, activity plans and policies;
- Organizational structure and growth, capacity and resources;
- Decision-making processes and delegation procedures;
- Mission statement/role of governing board;
- Planning processes and the use of the activity plan as a guiding instrument;
- System for project management, division of decision-making and implementing roles and responsibilities between HQ and field offices.

---

<sup>1</sup> Appendix to Government Decision 2007-12-19 (002007/47656/SR)

<sup>2</sup> The Swedish Government's Humanitarian Aid Policy (Government Communication 2004/05:52)

<sup>3</sup> [www.goodhumanitarianandonorship.org](http://www.goodhumanitarianandonorship.org): A meeting held in Stockholm in 2003 brought together donor countries, UN agencies, NGOs and the International Red Cross and Red Crescent Movement. It agreed on a set of 23 principles and good practice of humanitarian donorship

<sup>4</sup> "Evaluating humanitarian action using the OECD-DAC criteria", Tony Beck, March 2006. [www.alnap.org](http://www.alnap.org)

### 3.1.2 Administrative systems and routines

- Are there documented and clear orders of delegation and decision-making between head office and country offices?
- Is there a system for internal control and communication;
- Are there written rules and regulations for purchasing procedures applicable to the whole organization (head office and country offices);
- Is there transparency in IOM's own purchases? Are decisions and the justifications made public?
- Is there a "whistle blower" function in place with regard to corruption or other type of misconduct?
- Are there procedures/routines in place that enable measures to be taken in case of embezzlements?

### 3.1.3 Financial control

- Routines for monitoring agreements and of obligations in agreements;
- Systems for transfer of funds and cash management;
- Rules and system for budget follow up;
- Main sources of funding;
- Routines, rules and regulations for auditing at all levels ;
- Promotion of good administration, and transparency where financing and the handling of funds are concerned.

### 3.1.4 Personnel administration

- Overall staff policy;
- Policy for receiving/requesting secondments;
- Recruitment and selection, emergency response rosters;

### 3.1.5 Management of activities

#### *Planning of humanitarian activities*

- Are there clearly formulated objectives for IOM's humanitarian work in the organization's strategies and steering documents?
- How does IOM plan and structure its needs analyses and its priorities?
- Does IOM systematically perform analyses of its external working environment as part of the planning process?
- How does IOM select and decide on projects, on what grounds and criteria, IOM's added value?
- How are target groups selected in relation to impartiality and neutrality?
- Quality assurance – how does IOM relate to the humanitarian principles, the Code of Conduct, Sphere standards? Does it follow generally accepted humanitarian principles?
- How does the organisation deal with the question of access – restriction of access?

*Humanitarian co-ordination*

- How does IOM co-ordinate with other humanitarian actors in the field, mainly the UN system? Does IOM participate in the UNCT/local IASC and CHAPs? How does IOM participate/become involved in UNCT/country level IASC? If not, why not? How does IOM ensure that its work is complementary to that of other organizations, in particular UN funds/programmes?
- How does IOM participate/become involved in IASC in Geneva?
- What is IOM's role in implementing the humanitarian reform agenda, in particular the organization's role as cluster lead for shelter in natural disaster?
- How is IOM perceived by civil society and by NGOs/INGOs?

*Efficiency and effectiveness of the programmes*

- Do its humanitarian programmes include a sustainability and long term aspect? How do they enable transition?
- Are the programmes designed in such a way that the results are measurable?
- Do they have a documented system in place for monitoring and evaluation, and clear guidelines for evaluations;
- Are the results of the evaluations used to improve new and on-going interventions?
- Do the results-based reports on the programmes include and assess outputs (resources) in relation to outcomes (results)
- Do the programmes use external consultants for evaluations?

*External effectiveness*

- Are IOM's general steering documents and operations at country level in line with each other?
- Does IOM compete at country level for financial donor support for projects outside its priority area of work?
- IOM's added value - does the IOM focus its work at country level on a limited number of sectors on the basis of their added value?

*Policy and method*

- Are there specific policy documents regarding, for example, gender equality, HIV/aids, environment, conflict sensitivity, corruption? Are these policies and methodologies specifically targeted at humanitarian situations?
- Beneficiary involvement. How are beneficiaries involved in programme design? Has IOM taken active part in HAP-I etc?

*Risk assessments*

- How are risk assessments conducted? Do they result in a plan? Are there



- scenario planning exercises?
- Security issues: Is there a security plan in conflict areas? How is it developed?

### 3. Analysis

On the basis of the findings the study shall analyse and assess the strengths and weaknesses of the above points and policies in respect of relevance, reliability and quality assurance.

The study shall analyse, in particular:

- The impact of the new strategy on the organization – Head Office, Regional Offices, Country Offices;
- The organizational structure of IOM in relation to IOM's humanitarian projects/programmes;
- IOM's main definition of its work: migration - humanitarian
- Perceived capacity of IOM to achieve goals established for humanitarian projects/programmes;
- The effects on the organization's capacity in particular at country level of the often rapid expansion of the project portfolio and project areas;
- Staff policy, staff costs tied to projects, and the effects of this on project selection and management;
- IOM's routines for introduction and integration of seconded individuals – specialists and JPO:s - from Sweden into the work of the organization;
- IOM's systems for planning, monitoring, evaluation;
- Number and focus of evaluations since 2000;
- The results of the evaluations in terms of the humanitarian objectives of saving lives, alleviating suffering and preserving human dignity;
- IOM's use of the evaluations carried out (system for);
- The division of responsibilities (HQ, Regional Offices, Country Offices) and forms of coordination for planning, implementation and follow-up of humanitarian projects and integration of lessons learnt;
- The ownership and use of the strategic planning;
- IOM's consideration of its added value in the planning and selection of projects;
- Transparency and coordination with other humanitarian actors;
- Perception of IOM by civil society and by NGOs/INGOs;
- Impartiality, neutrality and independence from governments;
- Whether IOM's objective for its humanitarian work is in line with Sweden's priorities (policy 2004/05:52, Sida's strategy, GHD);
- The added value and determining factors, for Sida Humanitarian Division's future cooperation with IOM – sector-wise, geographically.

#### **4. Recommendations**

Based on the analysis above the study shall result in recommendations on the following:

1. Rationale for selecting IOM's projects/programmes for Sida's humanitarian assistance;
2. Possible forms and modalities for cooperation with IOM;
3. Geographical recommendations;
4. Determining factors when considering IOM as a prospective recipient of Sida funds.

#### **5. Method**

The assignment shall be carried out through the examination of relevant documents and reports on studies and evaluations of IOM's humanitarian capacity and programmes; mapping and surveying operational and financial management systems and routines; making analyses and providing recommendations in accordance with points 3 and 4 above. In addition interviews shall be conducted with staff at IOM's head office in Geneva, Sida officers in Stockholm and telephone interviews with staff in selected embassies.

The consultant is asked to begin the assignment by preparing a brief inception report elaborating on the basic design and plan for the study. After approval by Sida/SEKA the Consultant shall begin to carry out the assignment as soon as possible. As mentioned above the key documents to be used as a point of departure are IOM's new strategy (12-points programme), The Strategy for Sida's Humanitarian Assistance, the Swedish government's Policy for Humanitarian Aid, and the principles of Good Humanitarian Donorship.

#### **6. Reporting**

A draft report shall be submitted to Sida, Division for Humanitarian Assistance in accordance with the specifications below, for possible comments to the consultant on factual errors or misunderstandings before the final report is handed over.

The report shall be written in English and not exceed 30 pages, excluding executive summary and appendices. The report shall be written in Word and submitted in one hard copy and one electronic copy.

Sida reserves the right to ask for an oral presentation in Stockholm, costs to be included in the contract.

#### **7. Timetable**

The aim is that the assignment shall commence with an inception report mid

August 2008 and be finalised end October 2008. A *draft report* shall be handed over to Sida no later than September 29<sup>th</sup>, 2008, whereupon Sida shall submit comments to the consultant within two weeks. The *final report* shall be handed over to Sida within two weeks after comments have been received.

## 8. Specification of Requirements

Consultants submitting tenders shall:

- Have documented knowledge and experience in the fields of organizational analysis, management and financial management;
- Have documented knowledge and experience in the field of humanitarian assistance;
- Have documented experience of evaluating humanitarian capacity;

The Consultants shall:

- State the methods they intend to use to implement the assignment and to guarantee the quality of their work;
- State the qualifications of each of the persons/sub-consultants they make available for the assignment and attach a CV for each of them;
- State the total cost of the assignment; specify the hourly fee for each personnel category and reimbursable costs, and other costs and possible discounts. All costs shall be given in Swedish kronor, excluding VAT;
- Propose a time schedule for the assignment.

Attachment: descriptions of Sida and IOM.



## **Sida**

The Swedish International Development Co-operation Agency, Sida, is responsible for Swedish bilateral development and humanitarian assistance. Sida handles most of the co-operation with countries in Africa, Asia, Latin America and Central and Eastern Europe. Sida has approximately 900 employees (of whom approx. 190 in the field). The overall goal of Swedish development co-operation is to contribute to making it possible for poor people to improve their living conditions. By reducing injustices and poverty throughout the world, better opportunities are created for development, peace and security for all people and nations. For more information, please see Sida's homepage: [www.sida.se](http://www.sida.se)

The objectives of the Division for Humanitarian Assistance as outlined in Sida's Humanitarian Strategy are to protect human lives and give assistance in accordance with international humanitarian law and assist in mitigating the consequences of humanitarian emergencies in connection with man-made and natural disasters. The Strategy is based on the Government policy for humanitarian aid (2004/05:52), stating that the aim of Sida's Humanitarian Assistance is to save lives, alleviate suffering and maintain human dignity during or immediately after catastrophes. This includes efforts to minimise risk and people's vulnerability to natural catastrophes. Humanitarian action in situations of conflict or natural disasters is guided by the humanitarian imperative and the principles of impartiality and neutrality. It must be strictly needs-based and serves to protect civilians and non-combatants and to prevent and alleviate human suffering.

Sida can fund programmes for humanitarian assistance through UN agencies, the Red Cross Movement, Swedish Rescue Services Agency and through Swedish or international NGOs. In 2007 Swedish humanitarian assistance amounted to almost 4 billion Swedish kronor, out of which 2 billion was handled by the Ministry of Foreign Affairs, 2 billion by Sida.

## **The International Organization for Migration – IOM**

Established in 1951, IOM is the largest inter-governmental organization in the field of migration. IOM works to help ensure the orderly and humane management of migration, to promote international cooperation on migration issues, to assist in the search for practical solutions to migration problems and to provide humanitarian assistance to migrants in need, including refugees and internally displaced people.

IOM works closely with governmental, intergovernmental and non-governmental partners. With 122 member states, a further 18 states holding observer status and offices in over 100 countries, IOM works to promote humane and orderly migration. It does so by providing services and advice to governments and migrants, and consequently, the organisation only consists of a large number of individual projects.

In June 2007, IOM's Member States adopted a strategy for the organization's work, resolving that IOM will focus on 12 activities while acting at the request of or in agreement with Member States.

## Recent Sida Evaluations

- 2008:29 Experiences and Lessons Learnt from Sida's Work with Human Rights and Democratic Governance, Final Report**  
Tom Dahl-Østergaard, Karin Schulz, Barbro Svedberg  
Department for Democracy and Social Development
- 2008:30 The Swedish Civil Society Organisation/Non-Governmental Organisation Cooperation Programme, Ethiopia, 2004/05–2006/07**  
Britha H. Mikkelsen, Knud Olander, Michael Tamiru Gubay, Workwoha Mekonnen  
Department for Africa
- 2008:31 Finalização do Apoio Sueco à Saúde em Angola, Um Estudo da Evolução dos Serviços de Saúde Reprodutiva e Infantil 2006–2007**  
Kajsa Pehrsson, Kenneth Challis, Tazi Maghema  
Department for Democracy and Social Development
- 2008:32 The Swedish Support to Institutional Capacity Building of the National Institute of Statistics in Cambodia 2006–2008**  
Tobias Stern, Claes Norrlöf, Pernilla Lundin  
Department for Democracy and Social Development
- 2008:33 Southern Africa AIDS Trust Project Evaluation, 2008**  
Ron Titus, Unity Chari  
Sida
- 2008:34 Contribucioned de Asdi al Desarrollo del Sector Privado en Bolivia, 2003–2007, Resultados e Impactos**  
Erik Larrazábal Antezana, Miguel Zalles Denegri  
Sida
- 2008:35 Sida's Support to the Swedish Committee for Afghanistan (SCA)**  
Göran Carlsson, Staffan Engblom, Tove Myhrman  
Sida
- 2008:36 Performance Analyses of the Cooperation between Swedish Radio and Radio Republic Indonesia 2000–2005**  
Madeleine Elmqvist, Lars Rylandaer, Lukas Luwarso  
Sida
- 2008:37 Programa Regionalizado de la Gestión Defensorial en Colombia**  
Francesca Jessup, Elisabeth Hayek  
Sida
- 2008:38 Environmental Sustainable Support to Civil Society in Asia, Africa and Latin America – Results and Effects of Sida's Framework Agreement with the Swedish Society for Nature Conservation (SSNC) 2005–2007**  
Hans Peter Dejgaard, Hans Hessel-Andersen, Maria del Socorro Peñaloza, Emelia Arthur, Sunitha Bisan  
Sida
- 2008:39 Mid Term Review of Sida/Lake Victoria Initiative Support to Community-Based Strategies for the Management of the Environment and Resources of Lake Victoria (COSMER-LAV) 2005–2008**  
Irene Karani, Mike Wekesa  
Sida

### Sida Evaluations may be ordered from:

Infocenter, Sida  
SE-105 25 Stockholm  
Phone: +46 (0)8 779 96 50  
Fax: +46 (0)8 779 96 10  
sida@sida.se

### A complete backlist of earlier evaluation reports may be ordered from:

Sida, UTV, SE-105 25 Stockholm  
Phone: +46 (0) 8 698 51 63  
Fax: +46 (0) 8 698 56 43  
Homepage: <http://www.sida.se>









SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY  
SE-105 25 Stockholm, Sweden  
Tel: +46 (0)8-698 50 00. Fax: +46 (0)8-20 88 64  
E-mail: [sida@sida.se](mailto:sida@sida.se). Homepage: <http://www.sida.se>