

**I O M**  
PROJECT  
HANDBOOK



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International Organization for Migration (IOM)

IOM is committed to the principle that humane and orderly migration benefits migrants and society. As an intergovernmental organization, IOM acts with its partners in the international community to: assist in meeting the operational challenges of migration; advance understanding of migration issues; encourage social and economic development through migration; and uphold the human dignity and well-being of migrants.

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# Acronyms

<b>ACO</b>	Accounting Division
<b>BNP</b>	Budgeting for New Projects
<b>CERF</b>	Central Emergency Response Fund
<b>CFG</b>	Co-funding Group
<b>CfP</b>	Call for Proposals
<b>CoM</b>	Chief of Mission
<b>CORMF</b>	Country Offices with Resource Mobilization Functions
<b>CPM</b>	Critical Path Method
<b>DMM</b>	Department of Migration Management
<b>DOE</b>	Department of Operations and Emergencies
<b>DRD</b>	Donor Relations Division
<b>ECHO</b>	European Commission Humanitarian Aid and Civil Protection
<b>ECOWAS</b>	Economic Community of West African States
<b>EPPE</b>	Expedited Procedure for Project Endorsement
<b>EU</b>	European Union
<b>FT</b>	Fixed-term
<b>GCU</b>	Gender Coordination Unit
<b>HRBAP</b>	Human Rights Based Approach to Programming
<b>HRM</b>	Human Resource Management Division
<b>HRO</b>	Human Resource Officer
<b>IASC</b>	Inter-Agency Standing Committee
<b>ICP</b>	Department of International Cooperation and Partnerships
<b>IOM</b>	International Organization for Migration
<b>ISBN</b>	International Standard Book Number
<b>ISSN</b>	International Standard Serial Number
<b>IT</b>	Information Technology
<b>ITC</b>	Information Technology and Communications
<b>LEG</b>	Office of Legal Affairs
<b>MAC</b>	Manila (Global) Administrative Centre
<b>MBS</b>	Manila Budget Support
<b>MDG</b>	Millennium Development Goals
<b>MFS</b>	Manila Financial Services

<b>MPI</b>	Media and Public Information Unit
<b>NGO</b>	Non-governmental Organization
<b>OYFT</b>	One Year Fixed-term
<b>PAC</b>	Panama Administrative Centre
<b>PARF</b>	Project Activation Request Form
<b>PCST</b>	PRISM Central Support Team
<b>PIU</b>	Project Information Unit
<b>PO</b>	Purchase Order
<b>PR</b>	Purchase Request
<b>PRISM</b>	Processes and Resources Integrated Systems Management
<b>PRM</b>	United States Bureau of Population, Refugees, and Migration
<b>PUB</b>	Publications Unit
<b>RAS</b>	Regional Accounting Support
<b>RD</b>	Regional Director
<b>RLPO</b>	Regional Liaison and Policy Officer
<b>RMO</b>	Resource Management Officer
<b>RRMO</b>	Regional Resource Management Officer
<b>RO</b>	Regional Office
<b>RPDO</b>	Regional Project Development Officer
<b>RTS</b>	Regional Thematic Specialist
<b>SAC</b>	Staff Association Committee
<b>SES</b>	Staff Evaluation System
<b>SDL</b>	Staff Development and Learning
<b>SLO</b>	Special Liaison Office
<b>SMART</b>	Specific, Measurable, Achievable, Relevant, Time-bound
<b>SST</b>	Special Short-term
<b>TECO</b>	Technically Complete
<b>TOR</b>	Terms of Reference
<b>TRS</b>	Translations Unit
<b>TYFT</b>	Two Years Fixed-term
<b>UNDAF</b>	United Nations Development Assistance Framework
<b>UNEG</b>	United Nations Evaluation Group
<b>USAID</b>	United States Agency for International Development
<b>USD</b>	United States Dollars
<b>WBS</b>	Work Breakdown Structure
<b>WIDAM</b>	Website, Intranet, and Digital Assets Management

# Foreword

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Migration has undergone significant changes over the last two decades both in scope and complexity. Globally, there are now more people on the move than ever before – 214 million international migrants along with 740 million internal migrants bringing the total to nearly one billion persons in motion. IOM has responded to this reality through increasing its membership and global footprint exponentially, while expanding its project base through the development of specialized expertise, innovative project areas, and enhanced delivery.

Migration projects produce the overwhelming portion of the resources that enable IOM to function, to innovate and design forward-looking migration management solutions, concepts, to seize new opportunities, and to respond to the increasing demands of its Member States and migrants. Projects and the Country Offices that develop those projects are the bedrock of the Organization without which it would not have the resources to operate. The main purpose of this IOM Project Handbook is to support IOM Country Offices to develop viable project proposals, foster institutional consistency and standardization and support project implementation.

Given the diverse nature of migration, IOM's more than 2,000 individual projects (in 2010) vary in content, structure, and size, but as a whole represent the nerve-centre of IOM's annual activities. In 2010, more than 97 per cent of IOM's total income (USD 1.3 billion) was generated through project activity. Therefore, IOM's project development procedures and tools must continue to be of the best possible quality, robust enough to withstand rigorous review and scrutiny. It is essentially the project-related overhead income, generated by projects, that supports and finances more than half of the Organization's core structure; the remainder is covered by assessed contributions of Member States.

The Organization's 2009-2011 structural review, which I initiated at the outset of my mandate, provided an ideal opportunity to evaluate IOM's project development procedures. The Structure Reform Team recommended to me that the Administration assign responsibility for project review and endorsement to the newly constituted Regional Offices. This recommendation rests on the premise that the Regional Offices – as resource and support hubs – are at the forefront of assisting project development in the Country Offices. The Regional Offices thus have the expertise and knowledge of regional migration issues and are better able to assist the project personnel at the ground level in responding quickly and effectively to requests from Member States and other partners and stakeholders starting from migrants themselves.

Early in 2010, a Project Endorsement Working Group, comprised of colleagues from the Field and Headquarters, was appointed to revise and strengthen project development tools and guidelines. Members of the Working Group drew on their own project development and management experience and consulted with a Reference Group and a Resource Group to capture institutional processes and validate the content. This Handbook is the product of their collective efforts. It is designed to serve as a learning tool as well as a reference guide that covers all stages of the project lifecycle, from early conceptualization to post-implementation evaluation. Through its use, practitioners will share a common understanding of the nature and purpose of IOM project development and management. They will also learn, and build upon existing knowledge – acquired over the course of 60 years of successful project development and implementation – how better to develop, review, and endorse project proposals, as well as how to implement, monitor, report on and evaluate projects effectively and efficiently.

I wish to thank all the members of the Project Endorsement Working Group for their valuable contribution and investment of time, effort, and expertise into this excellent operational and management tool.



William Lacy Swing  
Director General  
International Organization for Migration

# Introduction

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Welcome to the new *IOM Project Handbook*,<sup>1</sup> which has been designed to guide IOM colleagues through all stages of the IOM project cycle, from the conceptualization of a project through to evaluation.

The *IOM Project Handbook* consolidates all aspects of the project cycle into one easy-to-use handbook and replaces the previous *IOM Project Development Handbook* (2005) and the previous *Donor Reporting Manual* (2006). The Handbook summarizes procedures for project development, review, endorsement, activation, implementation, management, monitoring, reporting, and evaluation into six modules. Each module provides guidance on how to capture key project information in order to facilitate future reporting on data and best practices. The Handbook attempts to balance the legitimate institutional need for standardization in all of these areas while encouraging the unique levels of innovation and flexibility that have been the hallmarks of IOM's success throughout its history.

In compiling the Handbook, IOM relied on a number of existing internal tools, specifically MA/54: Donor Relations Manual and MA/66: IOM Evaluation Guidelines.

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<sup>1</sup> Hereinafter referred to as "the Handbook".

## WHAT IS THE PURPOSE OF THE HANDBOOK?

The Handbook introduces a number of important changes to the existing IOM project development and management cycle and establishes or updates tools, templates, and procedures used in the project cycle to reflect the realities of IOM's work today. Notably, the Handbook introduces new procedures for the endorsement of projects by IOM's Regional Offices (or by Headquarters-designated endorsers), as well as the review and approval for submission of donor reports.

The Handbook also aims to contribute to the development of IOM's capacity to:

- develop high-quality proposals;
- review proposals with a view to promoting and maintaining IOM standards of quality;
- negotiate agreements with donors;
- implement, manage, and monitor projects;
- meet the information needs of the donors through high-quality reporting;
- evaluate and learn from projects;
- meet the information needs of IOM through information and knowledge management.

The Handbook has been developed for the types of IOM projects that are donor funded, not for IOM's self-payer services. Even though projects are the main focus of this guide, some of the information provided and procedures described may be useful for other IOM activities and products, such as research reports, information campaigns, and policy guidance.

By building these capacities, the Handbook will contribute to IOM's ability to deliver professional services that meet the needs of migrants, refugees, and other project beneficiaries, as well as IOM's donors and Member States, in a manner that is consistent with IOM's Constitution.

## WHY DOES THE HANDBOOK FOCUS ON PROJECTS?

The vast majority of IOM's budget comes from donor-funded projects.<sup>2</sup> A project can be defined as an activity or a set of activities with the following core characteristics:

- each project is time-bound with a start date and an end date;
- each project is developed to address a specific set of needs and to deliver a specified set of results;
- each project has a specified budget.

Users of the Handbook should be aware of the difference between the term “project” and the term “programme”. A programme is a set of related projects that are managed and coordinated by one management structure with the aim of achieving higher-level results than projects could achieve on their own. Because IOM's organizational model is largely based on projects and in light of the IOM structural review, the resulting changes to the Organization's structure and the division of responsibilities, and the shift to a results-based approach, it is prudent to create and make available a guide on how to develop, review, endorse, report on and learn from projects.

IOM also implements a number of “service-for-fee” activities, notably within IOM's self-payer or sponsor prepaid travel assistance activities, immigration and visa-related service activities, migration health assessments, and DNA sampling activities. Service-for-fee activities are those that are paid for individually, either by the migrant or by a government, on a case-by-case basis (per service request completed). Unlike standard projects, some service-for-fee interventions may require start-up funds to initiate the project. These funds are later recuperated through the collection of service fees. A major difference between standard projects and service-for-fee activities is that the budget developed for self-payer funded projects must indicate how the service fee level was derived and how the Project Manager expects to reach cost recovery prior to the conclusion of the project.

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<sup>2</sup> In 2010, IOM received over 1.3 billion US dollars from operations and projects (inclusive of IOM's overhead), which represents approximately 97 per cent of IOM's overall revenue for that year. IOM does have other sources of revenue, such as membership assessed contributions and fees from self-payer services, but these services fall outside of the scope of the *IOM Project Handbook*.

Service-for-fee activities may not have the characteristics of a standard project in that there may not be an end date or a specified budget. They require endorsement and may include specific monitoring and reporting mechanisms.

## FOR WHOM IS THE HANDBOOK INTENDED?

The Handbook has been designed for Regional Project Developers (RPDO) or project developers, Regional Thematic Specialists (RTS) or other designated project endorsers, Regional Liaison and Policy Officers (RLPO), Project Managers<sup>3</sup> and other staff members who are involved in monitoring, reporting on, or evaluating projects.

This Handbook will also be useful for IOM staff not primarily involved in project development or management, such as Regional Directors, Chiefs of Mission and Regional Resource Management Officers (RRMO) and other resource management staff. In addition, it will be a resource for staff at IOM Headquarters who are responsible for setting IOM policy and providing technical guidance. Finally, the Handbook will be of general interest to all IOM staff who wish to know more about the project lifecycle.

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<sup>3</sup> Throughout the Handbook, references are made to staff members who perform certain functions. In some cases the reference is made specifically to the function being performed (for example, “designated project endorser”), while in others, the reference is made to the position (for example, “Chief of Mission”), which includes a standard set of functions. References to a functional role are written in lower case to demonstrate that the emphasis is on the function being performed and not necessarily the staff member’s formal position title, while references to specific positions are capitalized.

## HOW IS THE HANDBOOK STRUCTURED?

The Handbook has been divided into six Modules: (1) conceptualization; (2) proposal development; (3) project endorsement, submission, and activation; (4) project management and monitoring; (5) reporting; and (6) evaluation. These Modules encompass the six stages of the typical IOM project cycle.

### 1. Conceptualization

Module One explains the steps involved in (a) producing a project idea that has the potential to be developed into a successful project, (b) acquiring a thorough understanding of the situation through factor, stakeholder, problem, and results analyses, and then determining the project strategy through a project strategy analysis, and (c) preparing to transform the project idea into a full project proposal. Once the steps in Module One have been completed, the findings can be summarized in a concept note, or a complete project proposal can be developed following the steps described in Module Two.

### 2. Proposal development

Module Two provides a step-by-step explanation of how to develop a project proposal according to the standard IOM proposal template. It describes in detail how to use the analyses done during the conceptualization stage to justify the need for the project and build the Results Matrix. It also provides guidance on how to populate the project data and summary sections of the IOM proposal template, as well as the sections on coordination with partners and evaluation. A results-based approach is emphasized throughout the Module.

### 3. Project endorsement, submission, and activation

Module Three describes the steps required to (a) obtain permission to submit a project proposal to a donor, (b) submit the proposal to the donor and negotiate a contribution agreement, and (c) activate the project. Once these steps have been completed, the project is ready for implementation and management, as described in Module Four.

#### 4. Project management and monitoring

This Module describes the steps required to start up a project, to plan for its successful implementation, to execute and monitor the activities described in the project document that lead to the achievement of results, and to close the project. Interim and final reporting, as described in Module Five, will take place during and after the completion of the steps described in Module Four.

#### 5. Reporting

Module Five describes the steps needed to prepare, review, and submit narrative and financial reports to donors. Guidance is provided for correctly completing the IOM narrative and financial reporting templates. The Module also emphasizes the importance of preparing and submitting high-quality reports in a timely and professional manner to ensure IOM's continued positive relations with its donors.

#### 6. Evaluation

This Module explains the steps required to design an evaluation, to manage an evaluation, and to use the evaluation results to contribute to knowledge, institutional learning, and improvements in institutional performance.

Each Module begins with an **introduction** that specifies its target audience and describes its purpose and links to other Modules. The introductory section is followed by a number of sections discussing the content of the Module, followed by a section on **project information management**. Each Module contains a **checklist** highlighting its key steps and an indication of which steps are mandatory or recommended. Each Module also has a list of **internal and external resources**, including key publications that can be referred to for additional information on the content of the Module, useful websites, and a list of IOM documents relevant to the Module. All of these IOM documents are available for download on the IOM Intranet. Finally, each Module ends with an **Annex** section that contains templates and other pertinent documents.

## HOW TO USE THE HANDBOOK

The Handbook provides a comprehensive overview of the IOM project cycle and the processes and procedures underpinning each stage of the cycle. It is recommended that users read through the Handbook sequentially, starting with Module One and finishing with Module Six, as this will give the user a good understanding of the overall project cycle and its cyclical nature with each stage leading to the next. Once the user is familiar with the content, he or she can refer to specific Modules or sections within the Modules as the need arises.

Next to the main text, the Handbook has been graphically marked to alert the reader to key pieces of information as follows:



### Information

Blue text boxes highlight key information or provide additional information to complement the ideas and content in the main body of the text.



### Tips

Yellow text boxes provide good practices, and/or tips to complement the ideas and content in the main body of the text.



### Resource

Orange text boxes provide instructions for how to access additional information by contacting an IOM organizational unit or by locating specific resources.



### Definition

Green text boxes highlight and define key terms used in the main body of the text, which are also compiled in the Glossary.



### Tools

Purple text boxes present tools that can be used in the application of the processes and procedures described in the Handbook.



### Examples

Burgundy textboxes provide examples to concepts discussed in the main body of the text.

## RELEVANCE OF THE HANDBOOK TO DIFFERENT STAFF

For ease of reference, the following table shows a summary of which IOM staff, Units, and Divisions are most likely to refer to the different Modules of the Handbook most frequently.

**Table 1: Roles and Responsibilities During the Stages of the IOM Project Cycle**

Module 1 – Conceptualization	
IOM staff/ office involved	Main functions and roles
Project developer / RPDO	<ul style="list-style-type: none"> <li>• Come up with project ideas.</li> <li>• Acquire a thorough understanding of the situation.</li> <li>• Prepare to expand the project idea into a full project proposal.</li> </ul>
RPDO	<ul style="list-style-type: none"> <li>• Provide guidance on and support for project conceptualization in Country Offices.</li> </ul>
RTS	<ul style="list-style-type: none"> <li>• Assist the project developer / RPDO with conceptualization in a specific thematic area.</li> <li>• Advise the project developer on appropriate project type for the project idea.</li> </ul>
Country Offices with Resource Mobilization Functions (CORMF) <sup>4</sup> , the IOM Regional Office in Brussels and Donor Relations Division (DRD) at Headquarters	<ul style="list-style-type: none"> <li>• Assist the project developer in understanding donor priorities, funding mechanisms and application processes for regular Calls for Proposals.</li> </ul>

<sup>4</sup> CORMFs are country offices located in countries that provide substantial funding and other support for IOM's activities worldwide. These Country Offices provide additional support in donor liaison and resource mobilization in coordination with Headquarters and Country Offices in the capitals of other major donor countries. Currently, the IOM Country Offices in Berlin, Helsinki, Tokyo, and Washington, DC are designated as CORMFs. The IOM Regional Office in Brussels plays a similar liaison function for the European Union.

Module 2 – Proposal Development	
IOM staff/ office involved	Main functions and roles
Project developer	<ul style="list-style-type: none"> <li>• Draft the project proposal according to the standard IOM proposal template.</li> </ul>
RPDO	<ul style="list-style-type: none"> <li>• Provide guidance on and support for proposal development in Country Offices.</li> <li>• Draft project proposals for small Country Offices with no capacity to do so.</li> <li>• Support the RTS in the development of thematic regional and multi-thematic proposals.</li> </ul>
RTS	<ul style="list-style-type: none"> <li>• Check to ensure that proposals sent for endorsement meet with IOM's project development standards.</li> <li>• Facilitate communication with all Country Offices in cases of multi-country proposals.</li> <li>• Develop regional and multi-country programmes and projects in the relevant thematic area in coordination with the RPDO.</li> <li>• Communicate with Headquarters if additional guidance is required on issues such as compatibility of a project idea with the IOM Mission, partnerships, project types, and so forth.</li> <li>• Define the project type.</li> </ul>
Resource management staff	<ul style="list-style-type: none"> <li>• Assist the project developer in developing and revising the budget.</li> </ul>

Module 3 – Project Endorsement, Submission, and Activation	
IOM staff/ office involved	Main functions and roles
Project developer	<ul style="list-style-type: none"> <li>• Obtain approval from the Chief(s) of Mission or Regional Director to submit the proposal to the Regional Office or relevant Division at Headquarters for review and endorsement.</li> <li>• Send the project proposal to the RTS or the relevant Division at Headquarters for review and endorsement.</li> <li>• Undertake the necessary revisions to the project proposal in line with feedback received from the RTS or the Thematic Specialist in the relevant Division at Headquarters.</li> <li>• Following endorsement, send the final version of the proposal and all related documentation to the Project Information Unit (PIU).</li> <li>• Coordinate with the RTS or the Thematic Specialist in the relevant Division at Headquarters, CORMF, the IOM Regional Office in Brussels, or the Donor Relations Division to determine appropriate channels for submission of the project proposal to the donor.</li> <li>• Keep the RTS or Headquarters-designated endorser informed of revisions made to the project proposal after submission to the donor. Share revised project documents with the Chief of Mission, Regional Director, the PIU, and resource management staff.</li> <li>• Obtain the approval code from the Office of Legal Affairs (LEG) on contribution agreements.</li> </ul>

IOM staff/ office involved	Main functions and roles
	<ul style="list-style-type: none"> <li>• Complete the Project Activation Request Form and forward it to the RMO along with supporting documentation.</li> <li>• Hand over to the Chief of Mission, Regional Director, or Project Manager once all documentation necessary for project implementation and management is complete.</li> </ul>
Accounting Division (ACO)	<ul style="list-style-type: none"> <li>• Review overhead exception requests.</li> </ul>
Resource Management staff	<ul style="list-style-type: none"> <li>• Assist the project developer in developing the project budget in the PRISM project structure once the project type is confirmed.</li> <li>• Create the budget in PRISM (Budgeting for New Projects, BNP).</li> <li>• Review and send the Project Activation Request Form and supporting documentation to the Project Information Unit.</li> </ul>
RTS or Headquarters- designated endorser	<ul style="list-style-type: none"> <li>• Confirm the project type.</li> <li>• Assign the appropriate RTS to review and endorse the project proposal or, in the the case of Regional Office review with no relevant thematic specialist, coordinate with Headquarters in assigning a designated endorser.</li> <li>• Review and endorse the project proposal according to standard or alternative procedures.</li> <li>• Review the technical aspects of the budget for alignment with the project proposal and submit the budget to the RRMO for review and endorsement of shared staff and office costs.</li> </ul>
RRMO	<ul style="list-style-type: none"> <li>• Review and endorse budgets for shared staff and office costs.</li> </ul>
CORMF and the IOM Regional Office in Brussels	<ul style="list-style-type: none"> <li>• Ensure that all project documents comply with donor requirements, when required.</li> <li>• Submit the proposal to donor capital, when required.</li> </ul>
Relevant Division at Headquarters	<ul style="list-style-type: none"> <li>• Provide Regional Offices with support, as requested.</li> <li>• Review and endorse project proposals, when required.</li> </ul>
Project Information Unit (PIU)	<ul style="list-style-type: none"> <li>• Register projects.</li> <li>• Check completeness of documents and send the project documents to the PRISM Central Support Team.</li> </ul>
PRISM Central Support Team (PCST)	<ul style="list-style-type: none"> <li>• Review project documentation.</li> <li>• Activate projects in PRISM.</li> <li>• Notify all parties of project activation.</li> </ul>
Manila Budget Support (MBS)	<ul style="list-style-type: none"> <li>• Upload budget into PRISM.</li> </ul>

Module 4 – Project Management and Monitoring	
IOM staff/ office involved	Main functions and roles
Project Manager	<ul style="list-style-type: none"> <li>Oversee the implementation and management of project activities according to the project document, agreement, and budget, including donor liaison.</li> </ul>
Resource management staff	<ul style="list-style-type: none"> <li>Oversee resource management procedures (HR, procurement, accounting, treasury, etc).</li> </ul>
Chief of Mission / Regional Director	<ul style="list-style-type: none"> <li>Supervise the Project Manager and provide overall leadership.</li> </ul>
RTS	<ul style="list-style-type: none"> <li>Provide technical backstopping to project implementation.</li> </ul>
CORMF and IOM Regional Office in Brussels	<ul style="list-style-type: none"> <li>Review and provide input for changes to the project, as required.</li> </ul>

Module 5 – Reporting	
IOM staff/ office involved	Main functions and roles
Project Manager	<ul style="list-style-type: none"> <li>Prepare interim and final donor reports.</li> <li>Coordinate the financial report with the resource management staff.</li> <li>Obtain Chief of Mission or Regional Director approval to send the reporting package to the Regional Office or Headquarters for review.</li> <li>Revise the report and respond to questions from reviewers until both financial and narrative reports are approved for submission.</li> <li>Submit reporting packages to the donor (for Country Office submission).</li> <li>Sign the financial report certification (if designated as the responsible Official).</li> </ul>
Chief of Mission	<ul style="list-style-type: none"> <li>Approve narrative and financial reports to be sent to the Regional Office for review.</li> </ul>
Resource management staff	<ul style="list-style-type: none"> <li>Prepare the draft financial reports in coordination with the Project Manager. Complete the donor reporting checklist and, if necessary, reconcile donor report vs PRISM.</li> <li>Coordinate with the Regional Accounting Support (RAS) until the financial report is approved for submission.</li> </ul>
RLPO or other designated report reviewer	<ul style="list-style-type: none"> <li>Determine the appropriate internal review channels for reporting packages sent from Country Offices,</li> <li>Determine if secondary review is needed and practically feasible in the time available and coordinate reviews.</li> <li>Review the narrative reports and coordinate revisions with the Project Manager; ensure that narrative and financial reports are consistent.</li> <li>Approve reporting packages for submission to the donor.</li> <li>Submit reporting packages to the donor (for Regional Office submission).</li> </ul>

IOM staff/ office involved	Main functions and roles
RAS	<ul style="list-style-type: none"> <li>Review financial reports for Field-managed projects.</li> <li>Send feedback to the resource management staff and Project Manager.</li> <li>Approve the financial report for submission to the donor.</li> </ul>
Accounting Division (ACO)	<ul style="list-style-type: none"> <li>Review financial reports for Headquarters-managed projects.</li> <li>Send feedback to the resource management staff and Headquarters-based Project Manager.</li> <li>Approve the financial report for submission to the donor.</li> </ul>
IOM Regional Office in Brussels or CORMF Washington	<ul style="list-style-type: none"> <li>Conduct a technical review of narrative reports to check donor-specific requirements after the substantial review by the RLPO or other designated report reviewer at the Regional Office .</li> <li>Submit reporting packages to the donor, when appropriate.</li> </ul>
Donor Relations Division (DRD)	<ul style="list-style-type: none"> <li>Review narrative reports and coordinate revisions with the Project Manager for projects that require an exceptional review process.</li> <li>Approve reporting packages for submission to the donor.</li> <li>Submit reporting packages to the donor (for Headquarters submission).</li> </ul>

### Module 6 – Evaluation

IOM staff/ office involved	Main functions and roles
Project Manager	<ul style="list-style-type: none"> <li>Develop terms of reference for internal or external evaluation and select evaluators in close coordination with the Regional Office, donor, and other partners.</li> <li>Provide evaluators with feedback and input.</li> </ul>
Office of the Inspector General (Evaluation Unit)	<ul style="list-style-type: none"> <li>Provide input and comments on terms of reference, inception reports, draft reports, and provide other technical assistance related to evaluation (such as surveys and selection of evaluators).</li> </ul>
Relevant Division at Headquarters	<ul style="list-style-type: none"> <li>Provide the RTS with guidance on areas of thematic concern, provide good practice and information on similar IOM projects in other regions, and collate information on lessons learned.</li> </ul>

# Module 1

## CONCEPTUALIZATION



## Questions Answered in Module One

- How do you identify a project idea? Where does it come from?
- What are the next steps after identifying a project idea?
- How do you assess the potential for success?
- How do you make a thorough analysis of the situation?
- How do you ensure that all the relevant stakeholders are included in the development of a project?
- How do you identify the project objective and strategy?
- What are the cross-cutting issues that should be incorporated into the project idea?
- How do you assess and encourage donor interest?

## INTRODUCTION TO MODULE ONE

Read this Module if you are looking for project ideas and wish to develop these ideas into successful projects. To do this, you will need to follow these steps:

- Come up with a project idea;
- Assess the project idea's potential to be developed into a successful project;
- Acquire a thorough understanding of the situation through stakeholder, problem, and results analyses;
- Determine the project strategy through a project strategy analysis and take the steps necessary to prepare for the transformation of the project idea into a full project proposal.



### Resource

If you are a project developer in a Country Office and need assistance in completing any of the steps in this Module, contact your Regional Project Development Officer.



### Tips

All of these steps link directly to different sections of the IOM proposal template (refer to Module Two Annex 2.1). Therefore in order to write a high quality project proposal it is important that you complete these steps.



At the end of these steps, you can summarize the findings in a concept note, or you can move to Module Two and work on a complete project proposal.

This Module also provides information on how to mainstream cross-cutting issues, such as a human rights-based approach to programming and gender mainstreaming, in your project proposal, followed by guidance on liaising with donors and assessing their potential interest in your emerging project proposal.

## I. TRANSFORMING IDEAS INTO PROJECTS

This section describes the steps to:

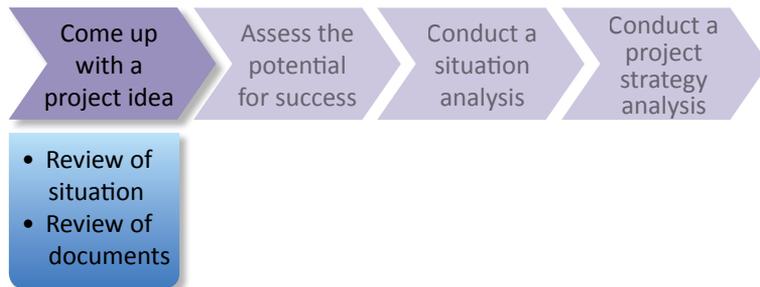
- come up with a project idea
- assess the potential for the success of the project idea
- conduct a situation analysis
- conduct a project strategy analysis
- (optional) write a concept note.



### Definition

A **project** can be defined as an activity or set of activities designed to produce a specified set of deliverables within a specified time frame and budget.

## I.1 Step One: Come Up with a Project Idea



A project begins with a project idea. For the idea to be developed, it should be addressed through a number of steps until it becomes more concrete. Within IOM, the initial idea for a potential project can come from various sources, such as (a) a review of relevant strategies, (b) the findings of research and assessments, (c) requests from host governments, donors, or potential partners, (d) information from stakeholders, or (e) the need to meet IOM’s commitments. These sources may overlap. A sample of potential sources for project identification (situations, documents, people or organizations) is provided below.

### I.1.a Review of Situation

The following **situations** may lead to new project ideas:

- a host government requests IOM to develop a proposal in accordance with national policies or strategies or identified specific migrants’ needs;
- a regional governmental body (such as the European Union), organization (such as the Organization for Security and Co-operation in Europe), or institution (such as the Association of Southeast Asian Nations) requests IOM’s cooperation in line with an agreed upon regional strategy;

- an intergovernmental organization or a non-governmental organization (NGO) approaches IOM to develop a (joint) project;
- IOM is part of the United Nations Country Team and is seeking to fulfill its obligations under the United Nations Development Assistance Framework (UNDAF) or the One United Nations Initiative framework;



### Information

There are a number of initiatives aimed at improving the efficiency, coordination, and performance of the United Nations system which have been launched. This includes the **United Nations Country Team** approach, the Delivering as One pilot project, the cluster approach to humanitarian emergencies, and an increased focus on multi-donor trust funds and joint programmes.

IOM is frequently involved in such initiatives, for example, as a member of United Nations Country Teams or as an implementing agency in joint programmes. IOM's participation in these initiatives allows it to both contribute to and benefit from increased coordination and cooperation, as well as to have access to certain funding mechanisms, such as the Central Emergency Response Fund.

Due to the collaborative nature of these initiatives, conceptualizing and preparing proposals within these frameworks may require more lead time and intensive coordination with United Nations and other agencies. For more information on these initiatives and programmes, refer to the list of resources at the end of this Module.

- a Country Office is seeking to support a developing Member State or a Member State with an economy in transition to build its capacities in migration management;
- an evaluation of an IOM project has been conducted and the information gathered during the evaluation led to the identification of new or follow-up project ideas;



### Resource

The **IOM Development Fund** provides special support for the development and implementation of joint government-IOM projects to address particular areas of migration management. It is an IOM global fund for capacity building in migration management and operates as a donor.

The IOM Development Fund Guidance Note, which is available on the IOM Intranet, provides guidelines and criteria for the submission of applications and the implementation of projects. Further information can be requested from the IOM Development Fund at [IOMDevelopmentFund@iom.int](mailto:IOMDevelopmentFund@iom.int)

- a call for proposals is issued by a donor;
- support is required for the ratification or implementation of national or international migration law instruments, such as the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, or the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (see Annexes 1.2 and 1.3 for more information on international migration law instruments);
- the stated policies or corporate social responsibility activities of private sector organizations are relevant to migration issues;
- there are possibilities for continuing previous or ongoing projects in a new phase;
- a donor country or IOM Member State requests IOM to develop a concept note or project proposal.

### I.1.b Review of Documents

You may find new project ideas in the following **documents**:

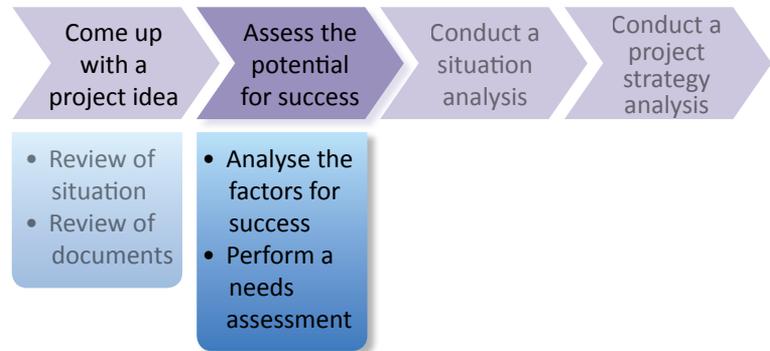
- IOM policies and strategies, such as the 12-point strategy detailed in MC/2216: IOM Strategy: Report of the Chairperson, technical guidance notes, and country or regional strategies;
- research findings and recommendations including academic literature or assessments and research projects conducted by IOM, and other organizations, or agencies;
- needs assessments and evaluation reports;
- internationally agreed upon priorities and action plans, such as the United Nations Millennium Development Goals, recommendations from the Global Forum on Migration and Development, the Abu Dhabi Declaration, or the World Health Assembly Resolution on the Health of Migrants;
- existing cooperation agreements or formalized partnerships, such as memorandums of understanding, which may lead you to elaborate on an idea to operationalize activities that are agreed upon within the documents;
- outcomes of the country reports of the Universal Periodic Review or recommendations made by charter-based and treaty-based procedures of the United Nations (see Annexes 1.2 and 1.3 for more information).



#### Resource

Contact the Donor Relations Division at [drd@iom.int](mailto:drd@iom.int) for information on donor priorities, and the Project Information Unit at [piu@iom.int](mailto:piu@iom.int) for assistance in finding relevant projects from other countries.

## I.2 Step Two: Assess the Potential for Success of the Project Idea



The second step of conceptualization is to check whether the project idea has the potential for success. In order to do this, four factors for success must be assessed:

- Does it address the needs of the intended beneficiaries?
- Does it fall within IOM's capacities, Mission, and strategic focus?
- Is it in line with donor priorities and funding mechanisms?
- Does it take into account the priorities, strategies, and policies of key stakeholders?

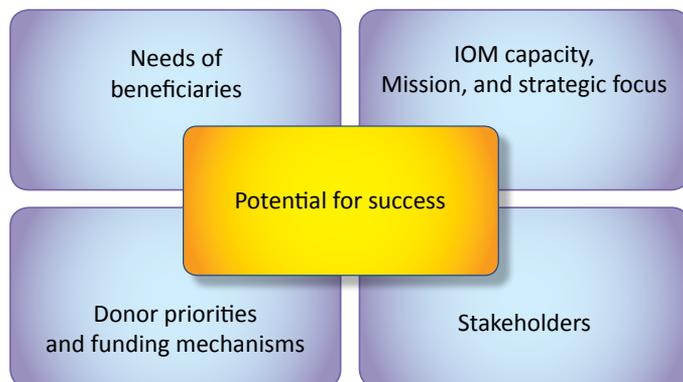
When you are satisfied that the project idea meets these criteria, you can conclude that the project idea has the potential for success.

Making such an assessment at this stage of conceptualization avoids the loss of time and resources, and it may lead to the realization that the project idea should be reformulated.

Assess the factors for success described in Figure 1.1 and Tool 1.1 to verify whether each of the factors was taken into account.

## 1.2.a Analyse the Factors for Success

Figure 1.1: Factors for Success



### Tool 1.1 Analysing the Factors for Success

<p>1. Needs of beneficiaries</p>	<ul style="list-style-type: none"> <li>• Who are the beneficiaries and what are their needs? (Refer to needs assessment below)</li> <li>• Is this a new or a long-standing need that IOM and other organizations or agencies have been addressing or may have worked on in the past?</li> <li>• Is the understanding of the needs of the beneficiaries current or is a new needs assessment required?</li> <li>• Have the needs of the beneficiaries been disaggregated by sex?</li> <li>• Have needs assessments used participatory methodologies?</li> </ul>
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#### Definition

**Beneficiaries** are the individuals, groups, or organizations that benefit from the project.



Resource

Contact the RTS or Headquarters (for thematic areas not covered by the Regional Office) for guidance on the regional or country strategies and technical guidance notes that should be reviewed when considering the project idea. IOM's overall Mission and strategic focus can be found on the IOM website.

<p>2. IOM capacity, Mission, and strategic focus</p>	<ul style="list-style-type: none"> <li>• Is the project idea in line with IOM's Mission, Constitution, and the relevant IOM strategies (global, regional, and country strategies)?</li> <li>• Does IOM have the capacity to implement the project or can the capacity be mobilized?</li> <li>• What similar projects have been implemented by IOM in the country or region or elsewhere?</li> <li>• What added value does IOM bring relative to other organizations or agencies present?</li> </ul>
<p>3. Donor priorities and funding mechanisms</p>	<ul style="list-style-type: none"> <li>• What is the likelihood that the project will receive funding?</li> <li>• What are the priorities of the major donors in or with an interest in the given country or region?</li> <li>• Are there regular calls for proposals or other funding mechanisms by donors in the country or region, or at the donor "headquarters" level that support these types of projects?</li> <li>• How do donors regard IOM (that is, as a humanitarian organization, a development organization, a migration organization, none or all of these)?</li> </ul>
<p>4. Stakeholders</p>	<ul style="list-style-type: none"> <li>• What are the priorities, strategies, or policies of IOM, the host government, the United Nations Country Team, the Humanitarian Country Team, and other stakeholders?</li> <li>• What are the capacities of other partners working on related issues?</li> <li>• What possible partnerships with governments, local and international organizations or agencies could be cultivated that would synergize with IOM's own capacity and bring greater overall strength to the project?</li> </ul>

## 1.2.b Needs Assessment

If there is insufficient up-to-date research or detailed information about the needs of the beneficiaries, it is good practice to conduct a needs assessment. This will help to ensure that the appropriate evidence is available to guide project design. There are various methods for conducting a needs assessment, including:

- consultation meetings with different stakeholders;
- rapid assessments in which a few key partners/stakeholders conduct site visits and interview key informants/beneficiaries;
- full quantitative surveys administering questionnaires to a representative sample of the intended beneficiaries.

The different methods used for a needs assessment have different costs. If there is no funding available for a needs assessment in the conceptualization phase, it is highly recommended that an appropriate needs assessment be budgeted for as a first step in the project implementation phase. In this case, the project should be designed in such a way to allow for refinements and adjustments based on the findings of the assessment. See Module 6.



### Information

It is important to ensure that data protection is taken into account at all phases of the project cycle including when doing a needs assessment. All personal data of the beneficiaries should be collected, received, used, transferred, and stored in accordance with IN/138: IOM Data Protection Principles. These principles are mandatory and apply to all projects involving the collection and processing of personal data.

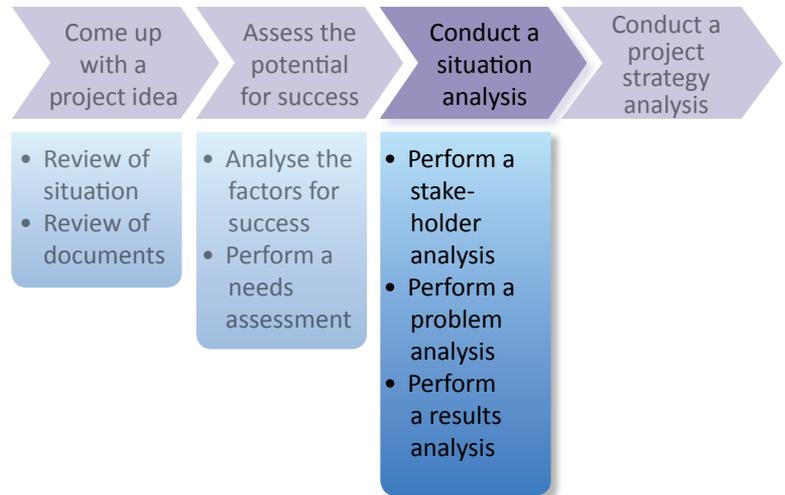
At this point, the project idea should be shared with the Chief of Mission or Regional Director and the Regional Thematic Specialist (RTS). This helps to ensure that a project idea has support in the Country Office and in the Regional Office before time and resources are expended in designing a project based on the idea.



### Resource

For guidance on the application of the principles, see MA/88: IOM Data Protection Guidelines. Data protection training modules are available from the Office of Legal Affairs (LEG), upon request, to assist with raising awareness among IOM staff and stakeholders.

### I.3 Step Three: Conduct a Situation Analysis



After the project idea has been identified and the potential success of the project has been established, the next step is to obtain a better understanding of the situation or context in which a potential project would be implemented. While analysing the situation, you will start gathering and examining the information required to design a complete project proposal (or a concept note).

It is extremely important to understand the context in which the project may take place. Understanding the context helps you to frame the analysis, including the identification of potential actors that could be interested in or affected by the project, what the main problems are, and what solutions can be attempted as identified by the key stakeholders to the project.

A situation analysis is done by completing:

- a stakeholder analysis
- a problem analysis
- a results analysis.

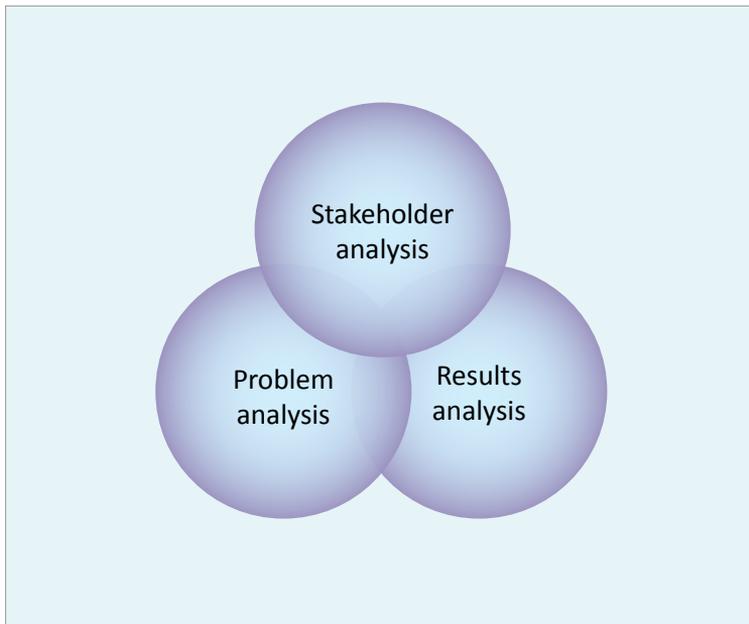
Each of these types of analyses will be described in this section, and the tools to undertake them will be provided.



#### Information

It is important to note that these processes are often interlinked (see Figure 1.2). For example, when carrying out the problem analysis, you may identify additional stakeholders, or when you are doing the results analysis you may identify new problems. The key aim is to work through these processes and to have a comprehensive understanding of problem and possible solutions to prepare the strategy of the project.

**Figure 1.2: Situation Analysis**



### I.3.a Perform a Stakeholder Analysis

A stakeholder analysis is the identification of the key stakeholders and an assessment of their interests and the way in which these interests are likely to affect project development and implementation. It helps to develop a plan and to identify appropriate forms of stakeholder participation in project design and implementation.



#### Definition

A **stakeholder** is any individual, group, agency, or organization that has a real or potential interest in a project, and who could negatively or positively influence or be affected by the project, directly or indirectly.



#### Information

For IOM, key stakeholders generally include the following:

- **Beneficiaries:** the individuals, groups, or organizations that benefit from the project (such as migrants, diaspora communities, government ministries in host governments, and NGOs);
- **Thematic partners:** the organizations or groups that have thematic expertise in the field of migration, or that have relevant implementation capacity (such as international organizations including United Nations agencies, implementing NGOs, and local government structures);
- **Host governments:** while host governments are often beneficiaries of the project, they should also be considered in terms of their decision-making and policy-making roles;
- **Donors:** the private sector, governmental agencies, and international organizations that provide the finances required for the implementation of project activities;
- **IOM:** relevant colleagues in other Country Offices, Regional Offices, and Headquarters.

A stakeholder analysis helps you to:

- understand the interests, problems, expectations, and capacities of those that are affected by the project and those who are important to the project’s success;
- identify potential risks, conflicts, and constraints that could affect the project or activities being planned;
- explore and develop opportunities for partnerships;
- identify and involve vulnerable, disadvantaged, or marginalized groups in order to ensure their participation and mitigate or avoid negative impacts.

To perform a stakeholder analysis:

- define the issue
- identify the stakeholders
- assess the attributes of the stakeholder
- assess the importance/influence of the stakeholders
- assess the likely level of stakeholder involvement in the project.

### *Define the Issue*

First, the general issue needs to be defined. Make sure that the issue is properly defined, which means that it should not be too broad. If the issue is either too broad or too vague, it will be impossible to identify specific stakeholders. For example, if the issue is “the achievement of the Millennium Development Goals”, the range of potential stakeholders is too great for effective engagement.

### *Identify the Stakeholders*

The next step is to list the relevant stakeholders. In doing so, include individuals, groups, agencies, and organizations who may have or may acquire an interest in the potential project.



#### Information

Methods for identifying stakeholders include a review of background literature and country studies, interviews with individual experts, consultations and group discussions with potential stakeholders, and workshops for large or complex programmes. Refer to Module Six for information on common data collection methods.

### Assess the Attributes of the Stakeholders

Having listed the stakeholders, it is possible to start assigning certain attributes to them.

One tool commonly used is the Stakeholder Matrix. This matrix can be adapted to suit the circumstances, but it usually includes columns for identifying:

- the stakeholders
- the stakeholders’ interest in the project
- the stakeholders’ capacity and motivation to bring about change
- potential strategies for addressing the stakeholders’ interest, promoting cooperation, and reducing obstacles.



#### Tool 1.2 Stakeholder Matrix: An Example

Stakeholder	Stakeholder interest	Capacity and motivation	Strategies
International migrant rights organization	Project is directly related to mandate of the Organization.	Organization is highly competent in migrant assistance, and is highly motivated to improve migrant access to assistance services.	Include organization in project design as implementing partner.
Local migrant association	Migrant association represents interests of the project’s beneficiaries.	Institutional capacity of the association is weak but motivation to participate in the project is high.	Include association in project design as beneficiary of capacity-building activities.
Local businesses	Businesses rely heavily on migrant labour.	Business owners are capable of influencing policies and are reluctant to see change.	Consult local businesses and promote coordination and cooperation.

A completed Stakeholder Matrix is helpful in organizing and prioritizing the stakeholders and aids in analysing how stakeholders may interact with each other.

### *Assess the Importance/Influence of the Stakeholders*

In order to start analysing the stakeholders, and to be able to strategize with them, you need to create an understanding of their position with regard to the project. A useful tool is the Stakeholder Importance and Influence Matrix. It can be used to prioritize stakeholders and to determine who should be involved in the planning session and how other stakeholders should be engaged in the overall process.



#### Tool 1.3 Stakeholder Importance and Influence Matrix

Importance 	<b>Box 1: High importance / low influence stakeholders</b>	<b>Box 2: High importance / high influence stakeholders</b>
	The interests of these stakeholders may need to be protected. Stakeholders may need to be empowered.	Work in partnership with these stakeholders and keep them on board.
Influence 	<b>Box 3: Low importance / low influence stakeholders</b>	<b>Box 4: Low importance / high influence stakeholders</b>
	Keep these stakeholders informed.	These stakeholders are not to be ignored; monitor them closely. Communicate with these stakeholders and try to gain their support.



### Definition

The terms “influence” and “importance” often lead to confusion. In the context of the Stakeholder Importance and Influence Matrix, these words should be understood as follows:

- **Influence:** the power stakeholders have over the planning and implementation process;
- **Importance:** the extent to which stakeholders will be positively or negatively influenced by the project.



### Examples

#### Project Example: Protection of Migrants' Rights

At present, the labour migration policies of Country X are poorly articulated and fragmented, with implementation functions dispersed across several government ministries. This has resulted in weak protection for labour migrants, who are vulnerable to exploitative recruitment and employment practices. Developing a national migration policy and creating a centralized coordinating body to oversee labour migration will alleviate the vulnerability of labour migrants by providing the institutional framework to regulate recruitment, to develop and enforce minimum standards in employment contracts, and to provide assistance in destination countries.

**Box 1:** The project's success is important for these stakeholders (because their situation either improves or worsens). However, they have little influence on the planning and implementation process. These stakeholders are typically beneficiaries. They may require special emphasis to ensure that their voices are heard and their interests are protected (so their influence is increased).

**Box 2:** These stakeholders are central to the planning process as they are both important and influential. They should be key stakeholders for partnership building. In the

example, the Ministry of Immigration may be both highly important (that is, as a key stakeholder with the potential to change laws to improve the protection of migrants' rights) and highly influential (that is, without their support the project may not be possible).

**Box 3:** These stakeholders have an interest in the project, but they are not the central stakeholders and they have little influence on its success or failure. They are unlikely to play a major role in the overall process. In the example, a university lecturer who teaches a course on migration and migrants' rights may have a basic academic interest in the project because it addresses a subject area with which he or she is concerned. However, this stakeholder is not important to the project because he or she is not the intended beneficiary nor is he or she likely to be significantly affected by the implementation of the project activities. For the most part, this is a group that does not require particular attention regarding your project.

**Box 4:** These stakeholders are not central to the activity but they may exercise significant influence. For example, an outspoken businessperson with xenophobic beliefs may not be an important community leader in a migrant hosting community, but he or she could have a major influence on the process due to informal relations with power brokers and the ability to mobilize people or influence public opinion. These types of stakeholders can sometimes create constraints to project implementation or may be able to stop all activities. Even if they are not involved in the planning process, there may need to be a strategy for communicating with these stakeholders and gaining their support.

An assessment of both the attributes and the levels of involvement of the stakeholders allows for an analysis of how the various stakeholders would interact together. When analysing potential interactions, consider the following questions:

- What is the potential for conflict and for cooperation among the stakeholders?
- Is it likely that competition will emerge?
- Are there opportunities for partnerships among the stakeholders?



### Tips

#### Good Practice:

#### Participatory Stakeholder Analysis

Once they have been identified, the key stakeholders can be brought together for a planning meeting. If there is not a budget to assist certain stakeholders with travel and accommodation expenses, less costly means can be used to ensure that the stakeholders are consulted and have the opportunity to provide input before a project proposal is developed. However, if a lack of financial resources prevents a stakeholder meeting from being held during the conceptualization stage, it would be particularly useful to budget for one when developing the project proposal (see Module Two). The meeting could then be held at the start of the project once funding has been received. In this case, it is essential that the donor understands that the finalization of expected project results would happen only after the full stakeholder meeting.

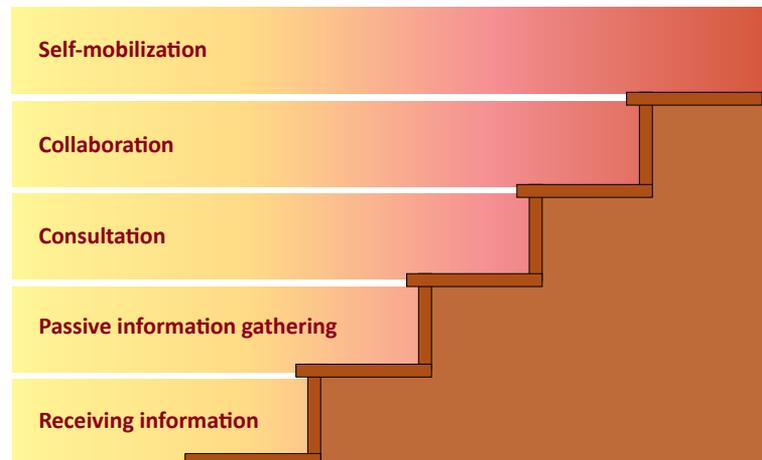
## Assess the Level of Stakeholder Involvement

It may be useful to determine the level at which the stakeholders will participate in the project. One way this can be visualized is by using a Participation Ladder. With this tool, each step of the ladder represents a level of participation. The lowest level of participation is found at the bottom of the ladder, with each step up the ladder representing more inclusive stakeholder participation in the project.

It is important that each individual stakeholder decides if and how they will participate in the planning and implementation process of the project. It is also important that the stakeholders decide how to cooperate with each other in the process. In particular, stakeholders should consider:

- if they will work as partners
- if they will work in a network
- if they will work in a complementary manner (for example, “I do this, you do that”)
- if signed documents establishing a formal basis for their work together are needed.

**Figure 1.3: Participation Ladder**



*Adapted from training materials of MDF Training and Consultancy.*

- Level 1: Receiving information** is the most passive of the stakeholder participation levels. There is almost no stakeholder involvement, besides receiving the information that you decide to share. The stakeholders at this level are usually the low importance stakeholders identified in Boxes 3 and 4 of the Stakeholder Importance and Influence Matrix.
- Level 2:** A little more involvement of the stakeholders is needed at the **passive information gathering** level. At this level, you will provide general information, but you will also aim to receive some information from stakeholders. The stakeholders at this level are usually the low importance stakeholders.
- Level 3:** At the **consultation** level of participation, you share information with, and actively seek information from, the stakeholders. The information received from the stakeholders at this level is to be reflected in the project. This should be the minimum level of participation for beneficiaries (typically Box 1 of the Stakeholder Influence and Importance Matrix), otherwise the project may not be responsive to their needs.
- Level 4: Collaboration** implies shared responsibilities. At this level, the stakeholder is therefore either responsible for part of the project or jointly responsible for the whole project, and is permitted to make decisions. Stakeholders at this level typically include the high importance stakeholders in Boxes 1 and 2 of the Stakeholder Influence and Importance Matrix. This level of participation is highly empowering for those in Box 1.
- Level 5: Self-mobilization** means that stakeholders become wholly responsible for the project. They manage the project, they are responsible for it, and they make decisions themselves. In such situations, your role will probably be advisory and focused on enhancing the capacities of the stakeholders when needed. This is the most empowering level of participation for beneficiaries.



**Tool 1.4 Stakeholder Participation Matrix**

<b>Participation level</b>	<b>Stakeholders</b>	<b>Means of participation</b>
<b>1. Receiving information</b>	Identify and list the stakeholders that should be at this level of participation in the project.	Identify how the project will facilitate the appropriate level of participation of the stakeholders.  For example: The circulation of a general project newsletter is a means of sharing information.
<b>2. Passive information gathering</b>	Identify and list the stakeholders that should be at this level of participation in the project.	Identify how the project will facilitate the appropriate level of participation of the stakeholders.  For example: Information sessions or meetings are a method of passive information sharing.
<b>3. Consultation</b>	Identify and list the stakeholders that should be at this level of participation in the project.	Identify how the project will facilitate the appropriate level of participation of the stakeholders.  For example: Consultative processes are network meetings, interviews, and focused group discussions.
<b>4. Collaboration</b>	Identify and list the stakeholders that should be at this level of participation in the project.	Identify how the project will facilitate the appropriate level of participation of the stakeholders.  For example: An implementation or partnership agreement with a local NGO is a means of collaboration.
<b>5. Self-mobilization</b>	Identify and list the stakeholders that should be at this level of participation in the project.	Identify how the project will facilitate the appropriate level of participation of the stakeholders.  For example: A grant to a local community can facilitate self-mobilization.



### Information

Keep in mind that the manner in which a stakeholder analysis is conducted can affect the conflict and cooperation dynamics among stakeholders. For example, if funding for partnerships is thought to be available, competition among stakeholders may increase or, if expectations about the potential for funded partnerships are raised but not delivered, cooperation may decrease. The project developer should communicate to stakeholders that their participation in the conceptualization phase is valuable in itself in that it will contribute to designing a better project, but that it does not necessarily mean that a funded partnership is envisaged.

The information gathered in the stakeholder analysis must be incorporated into the project design. This involves identifying the priority groups, ensuring the project's resources are distributed accordingly (including management and coordination structures that promote stakeholder ownership and coordination), and recognizing and addressing actual or potential conflicts of stakeholder interest in project design.<sup>1</sup>



### Information

In countries where IOM works under the cluster approach in an emergency context, stakeholders are defined in the common system. Refer to the cluster lead, if not IOM, to collect full information on the stakeholders relevant to the cluster/sector.

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<sup>1</sup> See European Commission, Aid Delivery Methods Volume One – Project Cycle Management Guidelines (2004).

### I.3.b Problem Analysis

Problem analysis involves identifying the key problems in a situation and understanding the cause-and-effect relationships between the problems.



#### Definition

The **cause-and-effect relationship** is the relationship between actions or events whereby one is the result of another.

It is important to carry out the problem analysis with the stakeholders, who should identify the core problem or problems. Carrying out the analysis with the stakeholders allows all those involved to have a uniform understanding of the problems. A well-constructed cause-and-effect problem analysis simplifies the process of developing the Results Matrix, which is a required feature of the IOM proposal template (see Module Two).

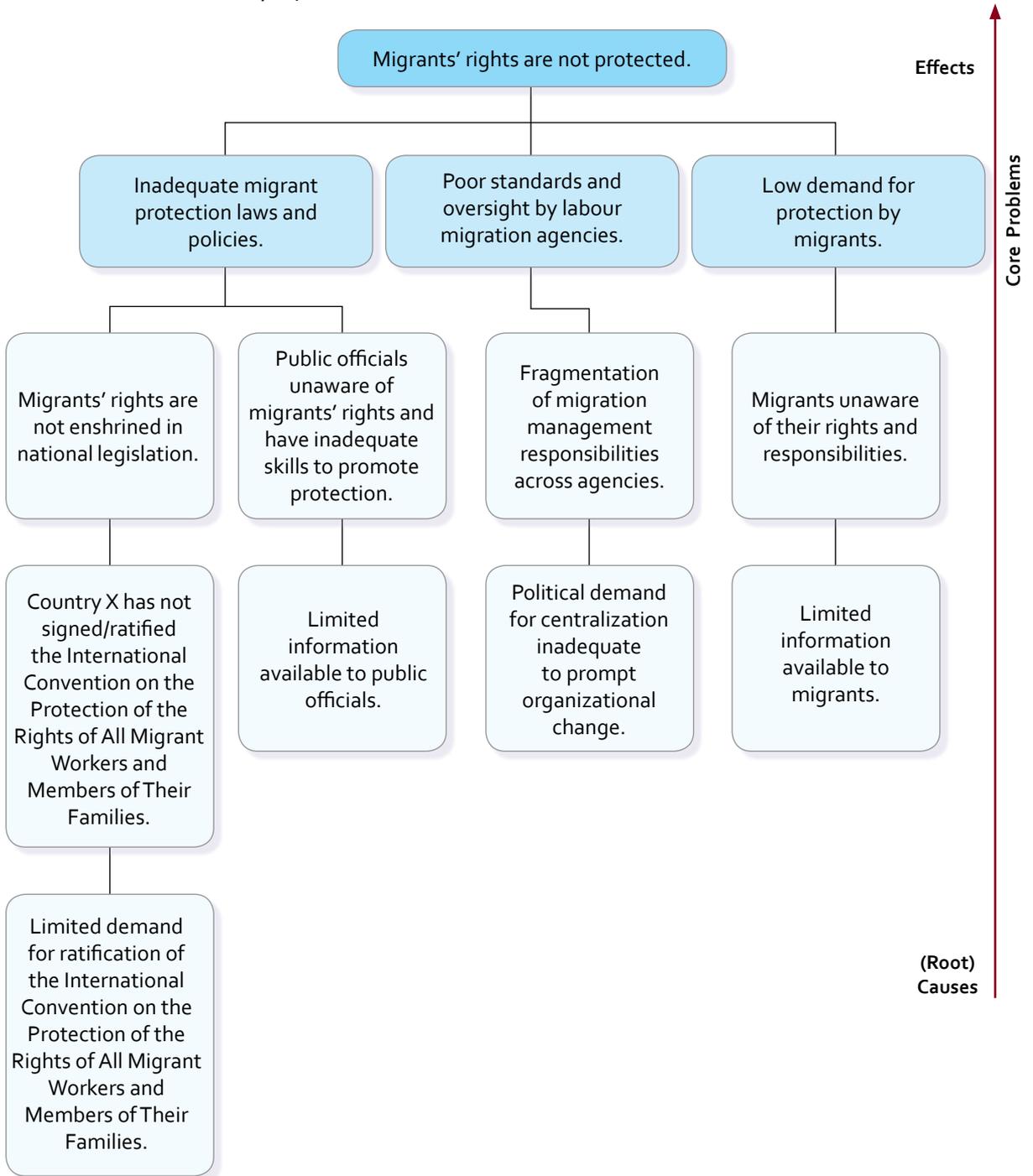
A problem analysis helps you to further understand the context in which the project takes place. It provides an understanding of the problems the project may address, and how these problems are interrelated. It is important to understand thoroughly the problems that exist before proposing solutions in a project.

The Problem Tree is an effective tool that can be used to identify problems and cause-and-effect relationships.



**Tool 1.5 Problem Tree**

Consider the following example of a Problem Tree (Refer to project example in the section on Stakeholder Analysis):



When completing the Problem Tree with stakeholders, consider using the following process:

1. Begin with a major issue or problem that was identified by the different stakeholders. Write the problem down.



2. Brainstorm on the major causes of the problem. It is often helpful to think in terms of categories of causes, such as policy constraints, institutional constraints, capacity weaknesses, or social or cultural norms. Ask: “What is causing this to happen?”



3. Look for underlying root causes for each of the problems. For each major cause identified, drill down further by asking: “Why has this happened?” Pay attention to underlying root causes that may be based on exclusion, discrimination, or inequality. Write down each cause as it is identified.

Stakeholders should stop when they run out of ideas about what is causing the problem. Generally, the more detailed the problem analysis, the easier it will be to identify the most effective solutions.



4. Once the roots of the Problem Tree are complete, the group should check to see if it provides a good understanding of what has caused the problem. Check if there are sub-causes that are repeated for different roots. These are likely to be priority concerns to be addressed when developing the Results Matrix.



5. Pay close attention to how each of the problem statements is formulated. Problem statements should be clear, precise, and measurable. They should not be vague (such as “poor governance”), should not contain interpretations (such as “nobody cares about migrants’ rights”), and should not contain a hidden solution (for example, “lack of a civil servants’ college” implies the solution “presence of a civil servants college”).



6. Make sure that all of the stakeholders understand the problem statements as they are formulated.



7. Check the logic of the tree again with the stakeholders.

A Problem Tree is best constructed with the help of an outside facilitator. However, if there are no funds for this, you will probably be called upon to moderate the Problem Tree analysis. Here are a few moderation tips if you facilitate a Problem Tree analysis with stakeholders.

**Table 1.1: Facilitating a Problem Tree Analysis**

Step	What the moderator says	What the moderator does
1. Participants write a number of problems on cards (start with three per participant).	<p>“Let’s now write down all problems related to the issue under discussion.”</p> <p>“Think also about problems that may be relevant to parties who are not present in this room.”</p>	Give each person three yellow cards. Check whether the participants are writing clearly. If necessary, distribute extra cards.
2. Check all problems for understanding.	<p>(Read the problem on the card loudly and clearly.)</p> <p>“Is this problem clear?”</p> <p>“Can someone explain the problem?” (if necessary)</p> <p>“How can we reformulate this problem? Can you write that down?” (if necessary)</p> <p>“Can we remove the [original problem] and replace it with [reformulated problem]?”</p>	<p>Point to the card.</p> <p>Look around the group. (Check if the problem statements are properly formulated and are relevant to the issue being discussed. If not, ask the participants how the statement could improved.)</p> <p>Present a new yellow card.</p>
3. Explain tree building again.	<p>“We are now going to identify cause-and-effect relationships.”</p>	Hang all problems neatly on one side of the wall.
4. Choose a starter problem that has a number of causes and a number of effects.	<p>“Let’s try to select a problem that has a number of causes and a number of effects.”</p> <p>“What are some of the causes of [starter card]?”</p> <p>“And effects of [starter card]?”</p>	Take the card of a participant and hang it on the wall. If it is difficult to quickly find causes and effects, try another one.

Step	What the moderator says	What the moderator does
5. Identify causes of the starter problem.	<p>“Does [proposed cause] lead to [starter problem]?”</p> <p>“Does [second cause] lead to [starter problem]?”</p> <p>“Does [second cause] lead to [first cause]?”</p> <p>“Does [first cause] lead to [second cause]?”</p>	<p>Hold the card under the starter problem.</p> <p>Hold the card under the starter problem.</p> <p>Hold card under the first cause.</p> <p>Hold card above the first cause.</p>
6. Identify effects of the starter problem.	<p>“Which problem is an effect of [starter problem]? Which problem is caused by [starter problem]?”</p>	<p>See above.</p>
7. Continue building the tree.	<p>“Let’s try to include the remaining problems in our tree. Let’s identify more causes and effects. What are other causes or effects you can see?”</p>	<p>See above.</p>
8. Check the logic of the tree and draw the lines.	<p>(Read the tree. If you feel that something is not logical, or that some problems are missing, ask the group.)</p> <p>“Are there problems missing? Are there other problems, not mentioned, which lead to this problem?”</p>	<p>Use your hand while checking the logic.</p> <p>Draw the lines with a marker; think of bridges; lines go out of the top and come in at the bottom of cards.</p>

This hierarchy of cause-and-effect among the negative elements of the situation should be the consequence of collective discussion and analysis and, eventually, agreement among all the stakeholders. It is important to define the problems in the broadest terms, looking beyond the issues with which individual stakeholders are concerned.

### I.3.c Results Analysis

The project seeks to address issues that key stakeholders view as problems. The next step is to translate these problems into positive situations (results or objectives).



#### Definition

**Means-ends relationship** refers to the relationship between the ways or methods that are used to achieve a result.

The purpose of this stage of the analysis is to formulate solutions to the problems identified during the problem analysis.

One effective way of carrying out a results analysis is by transforming a Problem Tree into a Results Tree. This is done by converting the Problem Tree's negative statements into positive statements so that the cause-and-effect relationships among the problems are changed into means-ends relationships that characterize solutions. These positive statements will eventually become the future results of the project.

After converting the Problem Tree's negative problem statements into positive results statements, re-read the results statements carefully, bearing in mind the following questions:

- Is each statement clearly articulated?
- Does each new statement present a result that is both desirable and realistically achievable?
- Does the logical hierarchy of the Results Tree convincingly demonstrate the links between the levels? For example, does the achievement of results on one level contribute to the achievement of results on the level above? Are the actions at one level sufficient to lead to the results above?
- What, if any, are the risks to achieving the results? Are these risks manageable?
- Are there any gaps in the means-ends relationship that should be addressed?

In answering these questions, revise statements, add new results if relevant, and delete results that do not seem necessary.



#### Tips

##### Good Practice:

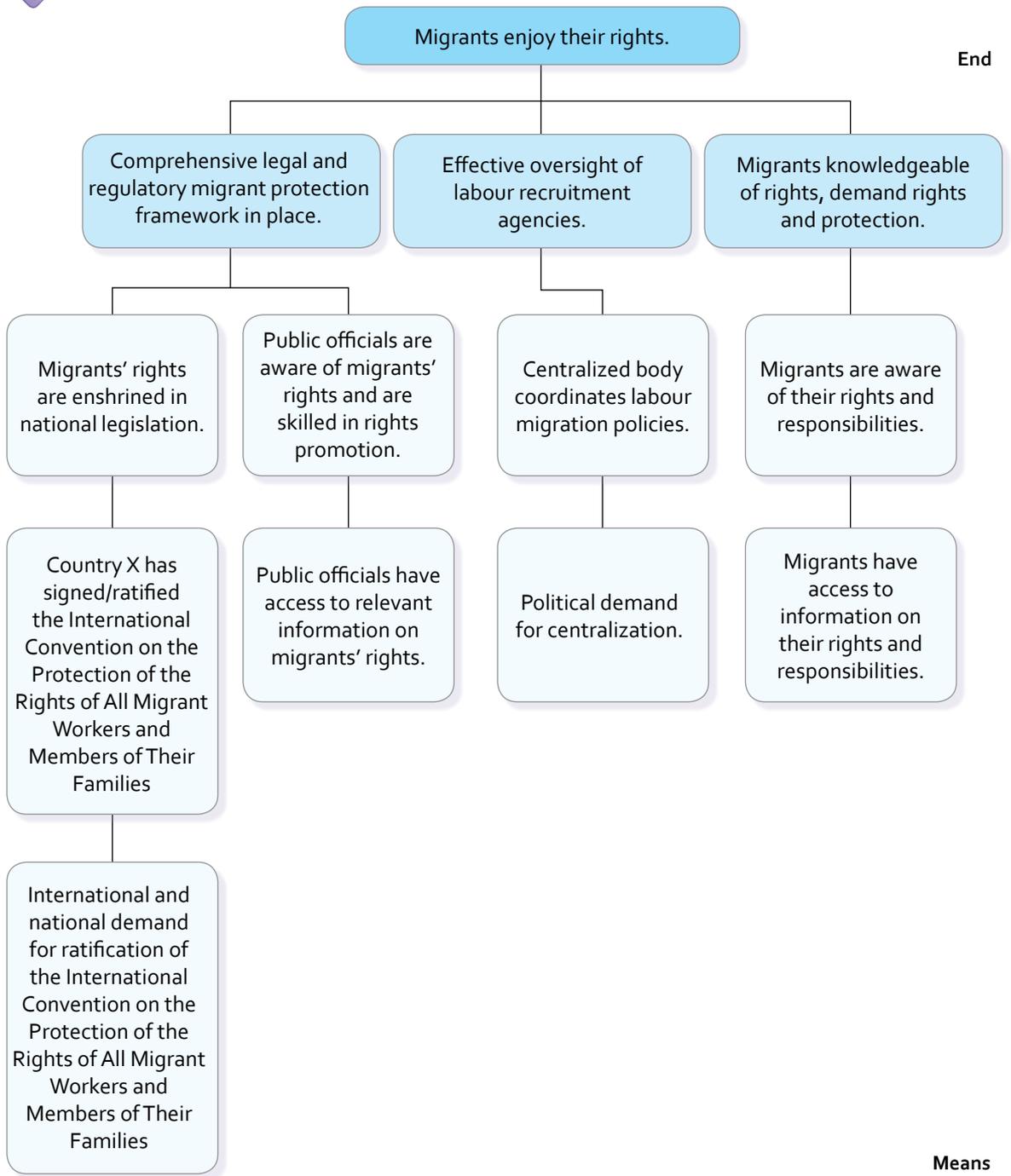
##### Visioning

Before embarking on the development of a Results Tree, it is often useful to involve the key stakeholders in a visioning process: collectively visualizing what the future would look like if the identified problems were resolved. This process ensures that the stakeholders share a clear and realistic vision of the future.

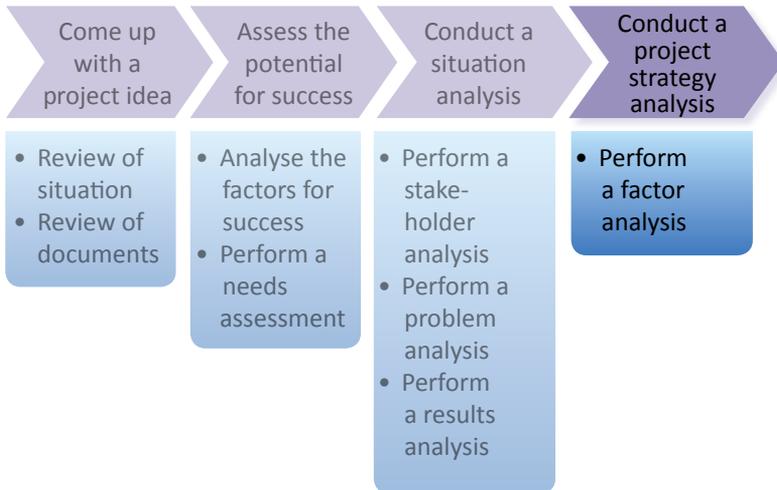
The stakeholders should think in terms of how the region, society, community, or lives of those affected will have improved within a defined period of time (normally between three and 10 years). Good questions to ask are: "If we are successful in dealing with this problem, what would this region/country/community be like in five years?"; "What would have changed?"; "How, and to what extent, would the lives of the beneficiaries have improved?" The answers to these questions are "results statements", and they replace the problem statements, as in the example in Tool 1.6.



Tool 1.6 Results Tree



## I.4 Step Four: Conduct a Project Strategy Analysis



Each problem may have more than one solution, and it is unlikely that one project could address all the possible results. In this step, you must decide what the project will focus on, your project strategy.

You must be realistic in what a project can achieve. In addition, you must consider where you can have added value and where others may be best placed to undertake projects.

Look at your Results Tree and identify the different branches or groups of results and activities of the tree.



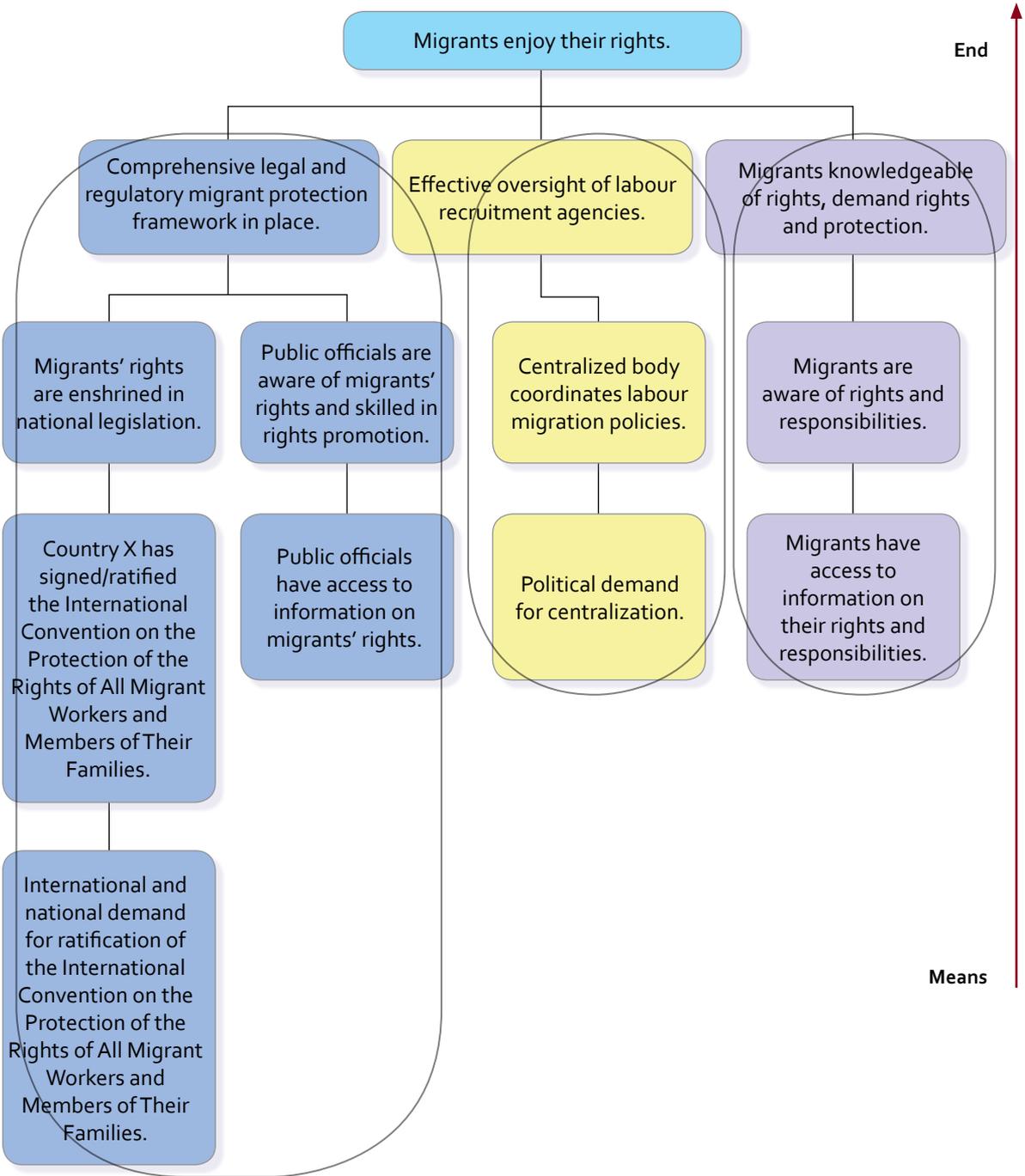
### Tool 1.7 Possible Assessment Criteria to Use in Determining the Clusters that will Integrate the Project Strategy

<b>Feasibility</b>	Which strategy can be achieved? Is there enough time? Is the strategy likely to succeed?
<b>Capacity</b>	Does IOM and/or its implementing partner(s) have the expertise, facilities, and presence required to implement the potential strategy? Can these capacities be readily obtained?
<b>Resources/ costs/inputs</b>	What resources are required to implement the strategy? Are these resources available? What is the likelihood that the required resources will be obtained? What inputs are required? Can they be obtained at a reasonable cost within a reasonable timeframe?
<b>Beneficiary considerations</b>	Which strategy most closely reflect the priorities of the beneficiaries?
<b>Relevance</b>	Is the strategy relevant to high-level priorities and long-term objectives, such as national government priorities, IOM's global and regional strategies, UNDAF, or to the high-level priorities of emergency response, such as Flash appeals, the Common Humanitarian Action Plan, the Consolidated Appeals Process, or other consolidated appeals?
<b>Compatibility</b>	How does the strategy fit in with action already being taken, such as other projects in the sector or at the same location? How does the strategy fit in with inter-agency frameworks?
<b>Responsibilities</b>	What responsibilities has IOM assumed at the country level? Does IOM lead a cluster and has IOM committed to being the provider of last resort?
<b>Sustainability</b>	What are the current and future cost implications? Do the beneficiaries have the capacity necessary to maintain the results after the project period?
<b>IOM's mandate</b>	Is the project strategy within IOM's mandate or could it be too sensitive for IOM as an intergovernmental organization to embark on this strategy?

In this example on Tool 1.8, the blue, yellow, and purple boxes represent different clusters, which could form the project strategy to be pursued. This clustering process is done by dividing the results tree into clusters, frequently on the basis of similarity of possible future activity or required expertise. Once the various possible project clusters have been identified, you must decide on a single strategy to be followed. This scoping process is facilitated by defining the criteria that will be used to group the clusters that will be integrate the project strategy.



Tool 1.8 Project Strategy Analysis



Once the project strategy is defined, it is recommended to revise it to ensure that it does not include results which are not realizable, and to revise against external factors not considered during the problem analysis. The objective of this factor analysis is to take advantage of the opportunities and to minimize and manage the threats. In this sense, the factor analysis is the first step towards risk management.

### 1.4.a Perform a Factor Analysis

This analysis focuses on factors that may affect your project. It allows you to analyse the context of the project idea.

A factor analysis is carried out in order to obtain a better understanding of the context and of those factors likely to affect your project. A factor analysis facilitates the process of:

- deciding whether or not to undertake the project
- deciding whether the project needs to be refocused
- developing the Results Matrix (refer to Module Two)
- undertaking risk assessment and risk management (see Modules Two and Four respectively).

To carry out a factor analysis, list the factors that may affect the project and determine the effect each factor could have on the project. The listing process may include political, economic, social, technological, legal, and environmental factors.



#### Information

The political, economic, social, technological, legal, and environmental factors affecting the project are commonly referred to by the acronym PESTLE.


**Tool 1.9 PESTLE Analysis: An Example**

Category	Factor	Effect	Timeline
List the six different categories of factors.	List the factors in this category that could influence the project.	Indicate the effect this factor could have on the project.	Indicate the timing of the factor's effect on the project.
<b>Political</b>	Continued political crisis.	Project relies on decision-making by political elite, who remain preoccupied with political crisis.	Project likely to be affected for at least 12 months initially.
<b>Economic</b>	Rapid economic development.	Increased labour migration from surrounding countries.	Project likely to be affected within six months.
<b>Social</b>	Demographic changes.	Increased demand for health care workers.	Project unlikely to be affected during its implementation period.
<b>Technological</b>	Rapid changes in relevant technologies.	Equipment purchased for project could become outdated or irrelevant.	Project likely to be affected within first two years of implementation.
<b>Legal</b>	Revisions to penal code criminalize human smuggling.	Department of prioritized anti-smuggling.	Project could be affected immediately.
<b>Environmental</b>	Environmental degradation increases in rural areas.	Increased rural to urban migration.	Project likely to be affected within six months.

If factors that could have a negative effect on the project are identified, they are to be considered risks to the project. The early identification of potential risks enables the project developer to revise the project strategy in order to mitigate these risks, and to include additional risk management strategies in the project design.



#### Information

As factors affecting the project change over time, the identification and revision of factors affecting the project should occur not only during the conceptualization and development of the project, but also during the implementation of the project (see Module Two and Module Four).

Upon completion of the project strategy analysis and the identification of the project implementation strategy, prepare a concept note to summarize the conclusions of the stakeholder, problem, results, project strategy and factor analyses, or move directly to Module Two to start developing the project proposal.

### 1.5 Step Five: Write a Concept Note (Optional)

Although it is not an IOM institutional requirement, a concept note can be a useful way to consolidate the conclusions of the analyses that have been described in this Module, and it can provide a strong basis on which to develop a full proposal. It should be a concise document of no more than two pages in length. The IOM concept note template is attached to this Module as Annex 1.1.

The purpose of the concept note is to describe, in the broadest terms, the vision of the project (see the Section on Results Analysis). A concept note can be shared with partners and donors to assess the interest and potential commitment of project partners and donors at an early stage in the project planning process.



#### Information

When preparing a concept note, determine the project type in consultation with the Regional Office. Different project types have different budget templates, and it is important to use the correct budget template when preparing the budget.

Even if the concept note does not evolve into a full proposal, it may become relevant again in the future and should therefore be kept on file. Approved concept notes are to be registered with PIU using the procedures described in Module Three.

Give careful consideration to the project title, even at this early stage, as it can be difficult to change later. Project titles should be brief (aim to limit it to 100 characters); ideally should be in keeping with IOM's mandate, as well as the country and/region targeted, e.g., "Return and reintegration assistance to victims of trafficking: Thailand (see Module Two for more information).



#### Information

Some donors employ a two-stage application process, which requires the submission of a concept note prior to the development of a project proposal. Use the donor concept note templates if they are provided, otherwise the IOM concept note template is to be used. Concept notes are subject to approval for submission procedures described in Module Three. Concept notes are to be registered with PIU.

## II. CROSS-CUTTING ISSUES

Cross-cutting issues are those factors that are relevant in many different fields or sectors of activities. Project developers should specifically consider these factors for each project proposal and in each sector of activities, as well as how these factors will be addressed in each phase of the project cycle. In this way each project can contribute to cumulative progress on these issues. For the purpose of this Handbook, the cross-cutting issues that are discussed are human rights, gender, environmental sustainability, and sustainability. The following section provides an overview of these issues, with more details provided in Annexes 1.4, 1.5, 1.6 and 1.7, respectively.

### II.1 A Human Rights-based Approach



#### Definition

**Human rights** are the liberties and benefits based on human dignity which, by accepted contemporary values, all human beings should be able to claim “as of right” in the society in which they live. In international law, these rights are contained in the International Bill of Human Rights, nine core international human rights treaties, and various universal human rights instruments.

#### II.1.a A Human Rights-based Approach to Programming

In 2003, the United Nations Development Group adopted the Common Understanding of a Human Rights-based Approach to Development Cooperation. The purpose of the Common Understanding is to ensure that United Nations agencies, funds, and programmes consistently apply a human rights-based approach to common programming processes at global and regional levels, and especially at the country level in relation to the Common Country Assessments and UNDAF. According to the Common Understanding:

1. All programmes of development cooperation, policies and technical assistance should further the realization of human rights as laid down in the Universal Declaration of Human Rights and other international human rights instruments.

2. Human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments guide all development cooperation and programming in all sectors and in all phases of the programming process.
3. Programmes of development cooperation contribute to the development of the capacities of “duty-bearers” to meet their obligations and/or of “rights-holders” to claim their rights.<sup>2</sup>

As such, a human rights-based approach to programming (HRBAP) is a conceptual framework for the development and implementation of development programmes based on international human rights standards, putting into practice and operation the promotion and protection of human rights. For IOM, HRBAP shifts the focus of projects from the needs (that is, unfulfilled human rights) of vulnerable, marginalized, and discriminated migrant groups to the recognition, protection, and enjoyment of their rights. It seeks to analyse and tackle the unequal power relations underlying discrimination, violations of human rights, and social injustice. Refocusing from needs to rights means that the excluded, marginalized, and discriminated migrant groups are recognized as holders of rights that can be claimed.



### Information

Human rights standards are principles that have been incorporated into human rights law instruments and customary law (at both the international and the regional level), including the Universal Declaration of Human Rights. In addition, there are principles that have been incorporated into the recommendations of the different treaty bodies and charter-based procedures of the United Nations system, not creating “new rights” but instructing and explaining how the rights should be interpreted and applied in specific contexts.

<sup>2</sup> United Nations Development Group, Common Understanding of a Human Rights-Based Approach to Development Cooperation (2003).

## II.1.b Rights-holders and Duty-bearers



### Definition

**Rights-holders** are individuals or groups that have valid claims to human rights. **Duty-bearers** are State or non-State actors with obligations towards rights-holders.

With HRBAP, human rights set the standards for what rights-holders, who are individuals, communities, or groups, are entitled to have, to do, or to receive. This approach also analyses the obligations and duties of duty-bearers, who are State or non-State actors, towards the right-holders. HRBAP identifies rights-holders and duty-bearers, analyses their capacities and the interface between the two groups, and works towards strengthening the ability of rights-holders to realize their claims and of duty-bearers to meet their obligations.

This recognition means that human rights become a practical instrument and not a mere statement of intent.

## II.1.c The Importance of the Process and the Outcomes

The focus of HRBAP is not only the goal but also the process of a project. With HRBAP, the results of the project, and the process required to produce them, are equally important. This means that, throughout the process, the participation of the project's beneficiaries is key. The process should also be guided by human rights principles. This is one of the key defining aspects of HRBAP: you must focus on the processes of how the project is designed, implemented, monitored, and evaluated, as well as the final outcomes. Through the active and true participation of rights-holders and duty-bearers alike, this process must be empowering.



### Information

HRBAP is guided by a number of human rights principles, including empowerment, participation and inclusion, equality and non-discrimination, universality and inalienability, indivisibility, interdependence and interrelatedness, and accountability and the rule of law. When the process abides by these principles, a project based on HRBAP must be empowering, especially for the most vulnerable, and increase accountability.

*Empowerment* means that the abilities of rights-holders to claim and exercise rights are enhanced. Empowerment lies at the heart of any human rights-based project in that it is one of the key goals of the project, and the process of the intervention itself contributes to empowerment. Empowerment is intrinsically linked to participation, as the means and degree of the participation of beneficiaries in a project determines the level of empowerment that results from the intervention.

*Participation and inclusion* means that every person and all peoples are entitled to active, free, and meaningful participation in, contribution to, and enjoyment of civil, economic, social, cultural, and political development in which human rights and fundamental freedoms can be realized, and that channels enabling such active, free, and meaningful participation are created and maintained.

*Equality and non-discrimination* means that all individuals are equal by virtue of the inherent dignity of each human person, and that all human beings are entitled to their human rights without discrimination of any kind, such as discrimination on the basis of race, colour, sex, ethnicity, age, language, religion, political or other opinion, national or social origin, disability, property, birth, or other status.

*Universality and inalienability* means that all people in the world are entitled to human rights and these cannot be given up or taken away. *Indivisibility* means that all human rights, be they of a civil, cultural, economic, political, or social nature, are inherent to the dignity of every person. As a consequence, they all have equal status as rights, and cannot be ranked in a hierarchical order. Further, human rights are *interdependent* and *inter-related*, as the realization of one right often depends, wholly or in part, upon the realization of others.

*Accountability and the rule of law* means that duty-bearers are to comply with legal norms and standards enshrined in human rights instruments, and are answerable for failure to do so, as aggrieved rights-holders are entitled to start proceedings for redress through a court or other adjudicator in accordance with the rules and procedures provided by the law.<sup>3</sup>

<sup>3</sup> Adapted from the United Nations Development Group, *Common Understanding of a Human Rights-Based Approach to Development Cooperation* (2003).

## II.1.d How can HRBAP be Incorporated into Project Development?

When designing projects, there are certain ways to ensure that HRBAP is being employed. The following are key questions to start the discussion on HRBAP inclusion:

- What human rights treaties have been ratified?
- What recommendations have been made by United Nations treaty-based and charter-based procedures?
- Are national laws consistent with international norms and standards?
- Are policies and programmes consistent with national laws?
- What rights are specified in the national legal framework? Are any rights absent?
- What measures exist to protect human rights? Are there avenues for monitoring and redress?
- Do processes promote empowerment, participation, inclusivity, equality and non-discrimination, and accountability?

Next, identify the rights-holders and the duty-bearers relevant to this particular situation by asking the following questions:

- Who are the individuals, communities, or groups with specific human rights claims? What rights are they claiming?
- Who are the corresponding duty-bearers? What are their specific obligations?

Finally, analyse the structural factors impeding or facilitating both the rights-holders' ability to claim, promote, and protect these rights and the duty-bearers' capacity to meet their obligations. HRBAP will aim to reduce these impeding factors and build upon the facilitating factors in order to strengthen these capacities.

The following elements are vital during all stages of project design and implementation:<sup>4</sup>

- people are recognized as key actors in their own development, rather than passive recipients of commodities and services;
- participation is both a means and a goal;
- strategies are empowering, not disempowering;
- both outcomes and processes are monitored and evaluated;
- analysis includes all stakeholders;
- programmes focus on marginalized, disadvantaged, and excluded groups;
- the development process is locally owned;
- programmes aim to reduce disparity;
- both top-down and bottom-up approaches are used in synergy;
- situation analysis is used to identify immediate, underlying, and basic causes of development problems;
- measurable goals and targets are important in programming;
- strategic partnerships are developed and sustained.

For a detailed overview of HRBAP throughout the project cycle, refer to Annex 1.4.



### Information

Keep in mind that language and terminology are important aspects of HRBAP, and IOM project proposals should therefore be aligned with the terminology established in international law and agreed upon by the main international actors in the field of migration and in other relevant fields. For example, when drafting IOM project documents, you must not use the term “illegal migrant” when referring to a migrant without authorization to remain in a State; rather use the term “irregular”. Another example of a term you must avoid is “HIV carrier”; rather use “person living with HIV”.



### Resource

For more information on the human rights of migrants and international migration law, contact the International Migration Law Unit at [iml@iom.int](mailto:iml@iom.int).

<sup>4</sup> United Nations Development Group, Common Understanding of a Human Rights-Based Approach to Development Cooperation (2003).

## II.2 Gender Mainstreaming



### Definition

**Gender** refers to “the social attributes and opportunities associated with being male and female and the relationships between women and men, and girls and boys, as well as the relations between women and those between men. These attributes, opportunities, and relationships are socially constructed and are learned through socialization processes. They are context- and time-specific and changeable. Gender determines what is expected, allowed, and valued in a woman or a man in a given context. In most societies there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources, as well as decision-making opportunities. Gender is part of the broader socio-cultural context.”<sup>5</sup>

**Gender mainstreaming** is the “process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality.”<sup>6</sup>

<sup>5</sup> Office of the Special Advisor on Gender Issues and Advancement of Women, *Gender Mainstreaming: Strategy for Promoting Gender Equality* (2001).

<sup>6</sup> United Nations Economic and Social Council, *Mainstreaming the Gender Perspective into All Policies and Programmes of the United Nations System: Report of the Secretary General, E/1997/66* (1997).

Supporting the achievement of gender equality and the elimination of sex and gender discrimination is an important part of HRBAP.

When designing projects, a “targeted action” approach can be used. With this approach, one sex is targeted to eliminate discrimination or offset disadvantages. While this is a necessary and very valuable tool, it needs to be clearly justified and must take into account gender roles and power relations; otherwise it may yield negative consequences or tensions between genders. Therefore, to successfully use the approach, the proposal must refrain from stereotyping and clearly aim to reach its objectives of counterbalancing discriminations. The targeted action approach is most often used to address inequalities affecting women and girls, and there are three main ways this approach is used. In the first option, a project can be focused specifically on addressing the needs of, or reducing the inequalities affecting, men or women. Second, a project may include one gender component within a broader project. Finally, a project may mainstream gender issues throughout all activities and components. Each of these options is discussed in Table 1.2.



### Resource

IOM’s Gender Coordination Unit (GCU) at Headquarters supports project development through the maintenance of a strategic overview and the provision of technical advice to ensure that ongoing and new programmes and services are in line with IOM’s gender policy. GCU documentation on gender policies and mainstreaming are available on the IOM Intranet, and GCU can be contacted at [genderissues@iom.int](mailto:genderissues@iom.int).

GCU does not have the authority to endorse projects but can be consulted by the Department of Migration Management, the Department of Operations and Emergencies, and the Regional Offices responsible for reviewing and endorsing project proposals, or by Country Offices of Regional Offices directly.

**Table 1.2: Design Options for Gender**

<b>Design option 1: Women-specific projects</b>	
Definition:	Women are the main target population and participants in a women-specific project.
This approach may be particularly appropriate where:	<ul style="list-style-type: none"> <li>• cultural traditions do not allow women and men to work together;</li> <li>• cultural traditions inhibit women from speaking out or contradicting opinions expressed by men in the community;</li> <li>• male emigration has created new roles and responsibilities for women;</li> <li>• already established autonomous women’s groups have proven their effectiveness as mobilizers and organizers and can collaborate in project implementation;</li> <li>• women have had less formal education than men, and thus may need remedial training to participate as equal partners.</li> </ul>
Some advantages of the women-specific approach include:	<ul style="list-style-type: none"> <li>• increased flexibility and responsiveness to women’s needs, particularly for types of training required to encourage and enhance women’s participation;</li> <li>• more decision-making opportunities and leadership roles for women, which can translate into improved self-esteem and respect for women within the community;</li> <li>• the opportunity for women to take initiatives generally considered outside their domain. Project success may change societal perceptions about women’s roles, abilities and economic contribution;</li> <li>• the possibility of creating stronger and enduring women’s institutions, which may eventually play catalytic and supportive roles for women’s initiatives.</li> </ul>
Some disadvantages of the women-specific approach include:	<ul style="list-style-type: none"> <li>• the risk that it will contribute to the continued isolation of women from mainstream development activities;</li> <li>• the danger of these projects being used as token indicators of efforts on behalf of women, without any strong policy commitment to integrating gender concerns into the overall development process;</li> <li>• the tendency to incorporate a strong welfare orientation, rather than elements that promote women’s empowerment.</li> </ul>
In designing women-specific projects, it is important to ensure that:	<ul style="list-style-type: none"> <li>• the project is placed in a ministry or organization that has the necessary time, resources, and technical expertise (for example, women’s projects placed in ministries of social affairs or women’s concerns may prohibit access to technical skills and resources, unless coordination with other ministries is pre-arranged);</li> <li>• the project design takes into account the specific realities of women (for example, hiring women extension workers in areas where women are the primary participants is a positive step). Avoid requiring volunteer labour or other non-remunerated inputs from community women who are already overburdened by domestic or agricultural responsibilities.</li> </ul>

### Design option 2: A women's component in a general project

<p><b>Definition:</b></p>	<p>A women's component incorporates separate activities for women – much like women-specific projects – within a larger general project. In most cases, specific financial support and project staff have been designated for these activities.</p>
<p>This approach may be particularly appropriate where:</p>	<ul style="list-style-type: none"> <li>• cultural traditions do not allow women and men to work together;</li> <li>• women want to be trained or undertake other activities separately, in an effort to ensure that they occupy decision-making roles within the project and also retain control over project outputs;</li> <li>• an objective is to allow for awareness-raising among women regarding their rights and to build their self-confidence;</li> <li>• the eligibility criteria for the general project may otherwise limit women's participation (for example, heavy collateral requirements for credit projects might reduce women's participation, as might a requirement of volunteer labour during plantation or harvest seasons);</li> <li>• women have had less formal education than men, and thus often need additional remedial training to participate as equal partners.</li> </ul>
<p>Some advantages of incorporating a women's component into a general project include:</p>	<ul style="list-style-type: none"> <li>• women have guaranteed access to project resources – both qualified personnel and financial;</li> <li>• women have equal access with men to the general project's main activities, whether these include training or employment. At the same time special arrangements can be made for women who may need separate training;</li> <li>• the possibility that the women's component will share with the rest of the project's greater visibility and attention from planners;</li> <li>• increased opportunities for phasing some or all aspects of the women's component into the general project as appropriate and desired.</li> </ul>
<p>Some disadvantages of incorporating a women's component into a general project include:</p>	<ul style="list-style-type: none"> <li>• if poorly designed or managed, it could lead to marginalization of women's activities from the main project;</li> <li>• the danger that the component will be suited to satisfy government, donor, or development agency requirements for including women without actually offering the same resources and skills that the rest of the project receives. The danger also exists that the staff of the larger project will ignore the women's component or use it to justify that women are not given the opportunity to participate in the larger project.</li> </ul>
<p>In designing a women's component in a general project, it is important to ensure that:</p>	<ul style="list-style-type: none"> <li>• the same priority is given to women's activities; otherwise there is a risk that women will be marginalized within the project;</li> <li>• data disaggregated by sex and indicators are incorporated as much as possible into the project document at its preparatory stage. This information makes it possible to later assess how the project served women and its positive and negative impacts.</li> </ul>

Design option 3: General projects with gender mainstreamed	
Definition:	General projects with gender mainstreamed aimed at giving equal opportunities to both men and women as participants.
This approach may be particularly appropriate where:	<ul style="list-style-type: none"> <li>• a large number of women fit the criteria (such as level of education, income level, physical capabilities) for participation in the project;</li> <li>• a precedent for shared participation among men and women in projects has already been established;</li> <li>• cultural traditions encourage women and men to work together;</li> <li>• the publicity and other forms of information outreach will reach both men and women.</li> </ul>
Some advantages of implementing general projects with gender mainstreamed include:	<ul style="list-style-type: none"> <li>• the possibility that women can take full advantage of the resources and the high priority that general projects have;</li> <li>• women’s potentially increased access to and influence on decision makers;</li> <li>• the opportunity for men to work with and share responsibilities with women in the context of the project.</li> </ul>
Some disadvantages of implementing general projects with gender mainstreamed include:	<ul style="list-style-type: none"> <li>• the creation of competition between men and women for scarce project resources. Women may lose out because of their lack of experience in negotiating in mixed groups, because of low self-esteem or confidence, or because of the distance from informal information networks;</li> <li>• the danger that, if information on women’s role within the project is not identified at the design stage, the project will inadvertently exclude women through choices of promotion mechanisms, location, timing of project, and so forth;</li> <li>• the possibility that women will be excluded from employment or training opportunities if male participants have expressed an interest.</li> </ul>
In designing general projects with gender mainstreamed, it is important to ensure that:	<ul style="list-style-type: none"> <li>• project documents clearly delineate specifically how women will participate in and benefit from each activity;</li> <li>• project design facilitates women’s participation in accordance with their needs and responsibilities;</li> <li>• training and employment opportunities in the project are scheduled to ensure that women can participate equally with men;</li> <li>• continuous monitoring is undertaken, through progress reports and other mechanisms, to allow for the assessment of how women have participated in and benefited from project activities.</li> </ul>

**Source:** Adapted from the International Labour Organization South-East Asia and the Pacific Multidisciplinary Advisory Team, Online Gender Learning and Information Module. See [www.ilo.org/public/english/region/asro/mdtmanila/training/unit3/design.htm](http://www.ilo.org/public/english/region/asro/mdtmanila/training/unit3/design.htm)

Keeping these options in mind during the conceptualization phase will help to ensure that adequate consideration has been given to gender issues from the earliest part of the project design process. For a detailed overview of gender mainstreaming throughout the project cycle, refer to Annex 1.5.

## II.3 Environmental Sensitivity and Sustainability

Environmental sustainability is fundamental to human well-being as it underlies the provision of food, water, fuel, and climate regulation and generates social and economic benefits. It is an elementary responsibility towards future generations. As natural resources are often the primary assets of poor people, environmental issues have particular importance in developing countries, where poor households are more dependent on natural resources for their livelihoods, and where they are more vulnerable to natural disasters and the long-term effects of climate change. Furthermore, natural resources make up a larger share of national wealth in developing economies, making them highly dependent on the health of their natural environments. The well-being and economic prosperity of poor people can therefore be greatly improved through the better management of environmental resources.<sup>7</sup> Lastly, besides IOM's ethical obligation to run its operations in a climate-friendly manner, Member States, partners, and donors, such as the United States Agency for International Development and the European Union, increasingly expect international organizations to demonstrate their capacity to do so.

### II.3.a An Environmentally Sensitive Approach to Projects

Environmental mainstreaming requires project developers and Project Managers to carry out the necessary analysis to assess the environmental implications of their work, and to take the necessary steps to ensure that the environment is safeguarded and, where appropriate, enhanced.<sup>8</sup> This can include reducing

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<sup>7</sup> United Nations Development Group, *Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF: A Guidance Note for United Nations Country Teams and Implementing Partners Teams* (2009); and New Zealand's International Aid and Development Agency, *Environment in International Development* (2006).

<sup>8</sup> New Zealand's International Aid and Development Agency, *Environment in International Development* (2006).



### Resource

Additional information on mainstreaming environmental sustainability into development work can be found on the United Nations Development Group website. The United Nations Environment Programme is the focal point for environment within the humanitarian coordination system and is tasked with mainstreaming environmental considerations into humanitarian action to minimize the possible negative environmental impacts of these operations. For an overview of how humanitarian activities can have a negative environmental impact, see <http://postconflict.unep.ch/humanitarianaction>

the environmental impacts of day-to-day work by recycling, properly disposing of hazardous waste, purchasing environmentally friendly products (such as environmentally friendly vehicles, computers, and expendables), reducing paper consumption in the office, and considering climate friendly travel options. It also includes mainstreaming environmental considerations into projects (for example, by conducting environmental impact assessments or having plans to mitigate excessive pressure on the environment that may be caused by project activities such as large-scale movements or construction projects).

Environmental issues may be particularly acute during, and in the aftermath of, disasters and conflict, often in ways that threaten human life, health, livelihoods, and security. Occasionally, the humanitarian response to a disaster or conflict has the potential to cause as much environmental damage as the crisis itself, and the failure to address environmental risks or include environmental considerations in relief operations can undermine the relief process in the medium or long term, causing additional loss of life, displacement, aid dependency, and increased vulnerability.

For a detailed overview of environmental sustainability throughout the project cycle, refer to Annex 1.6.

## II.4 Sustainability



### Definition

**Sustainability** is the durability of the project's results, or the continuation of the project's benefits once external support ceases.

In the context of donor-funded projects, sustainability can be defined as the durability of the project's results, or the continuation of the project's benefits once external support ceases. IOM projects should contribute to a meaningful and sustainable change in the targeted conditions of countries or communities. How IOM implements its projects is often equally, if not more, important than what it does. Therefore, as the project

idea evolves, can address a number of factors to increase the sustainability of the benefits generated by the project, including:

- *Ensuring or promoting national ownership:* Processes should be led or co-led by the government or other national or community partners to ensure that plans, programmes, projects, monitoring, and evaluation efforts are aimed primarily at supporting national efforts, rather than the objectives of IOM. Important questions to ask include: “Are the people for whom the project is being developed involved in the planning, monitoring, and evaluation processes?”; “Do they feel that they are a part of the processes?”; and “Do they feel ownership of the processes and the plan or programme?” There is greater pride and satisfaction, greater willingness to protect and maintain assets, and greater involvement in social and community affairs when people have a vested interest in something – that is, when they feel “ownership”.
- *Promoting national capacity development:* Throughout the different processes, ask: “Can national systems and processes be used or augmented?”; “What are the existing national capacity assets in this area?”; “Has the enabling environment, the organization, or institution been considered as well as the individual capacities?”; and “Can IOM engage in monitoring and evaluation activities so that it helps to strengthen national monitoring and evaluation systems in the process?”
- *Promoting inclusiveness:* Ensure that beneficiaries, including migrants and migrants associations, are involved in the planning, implementation, monitoring, and evaluation processes. For example, ask questions such as: “Does this problem or result, as stated in the analyses, reflect the interests, rights, and concerns of the beneficiaries?”; “Has IOM analysed this from the point of view of the beneficiaries in terms of their roles, rights, needs, and concerns?”; and “Are the beneficiaries involved in the monitoring and evaluation of the project?”

For a detailed overview of sustainability throughout the project cycle, refer to Annex 1.7.

### III. DONOR LIAISON AND FUNDRAISING

Early and close collaboration with potential donors is crucial in the conceptualization and planning phase of a project and is critical to successful resource mobilization. The Donor Relations Division (DRD) at IOM Headquarters can be contacted for information on the funding priorities of individual donors including a history of the IOM projects they have supported in the past. This can help you to assess which donors are more likely to have a potential interest in a given project idea.



#### Resource

See MA/54 Donor Relations Manual (available on the Intranet) for more detailed guidance on developing a resource mobilization strategy and other tips and good practices in liaising with donors.

Keep in mind the importance of ensuring the host government's support for a proposed project when approaching donors. This support can be demonstrated through a letter from a government counterpart expressing encouragement for IOM's proposed project, or through the participation of a government official in donor meetings or donor presentations.

A donor liaison and resource mobilization strategy requires regular communication to build trust and cultivate a common understanding with a prospective donor of shared objective(s) that can be pursued through targeting programming and other interventions. However, sometimes, the greatest challenge and most time-consuming component of an effectively focused resource mobilization strategy is the actual "liaison" and groundwork, which entails establishing, maintaining and developing contacts with agencies, donors, and the local government and communicating the needs of the organization to donor counterparts.

To develop a resource mobilization strategy, begin by determining which donors are present in and/or have an interest in a certain country and their priorities there as demonstrated by past financial contributions and policy statements.

Successful past practice demonstrates that a successful resource mobilization strategy will be carried out jointly in:

- the implementing country(ies);
- donor country capitals; and
- Geneva and/or New York particularly for humanitarian emergency contexts.

As you develop an initial list of potential donors and funding sources that could be interested in supporting your emerging project idea once it has been fully further developed, inform the relevant IOM offices and begin to regularly share information with them so they are more prepared to reinforce your efforts after the project proposal has been developed, endorsed and is ready to share with an external audience.

**Table 1.3: Tips to Strengthen Relations with Donor Agencies**

General
<ul style="list-style-type: none"> <li>• Learn about donor priorities, upcoming calls for proposals and other funding mechanisms/channels through government and agency websites and various published and online resources.</li> <li>• Subscribe to be notified automatically of new funding opportunities through specialized websites offering this service.</li> <li>• Research and seek out opportunities for trainings on donor priorities, application processes, and reporting requirements that may be available via the Internet.</li> <li>• Make sure the proposed activity matches the donor’s priorities in the country of operation.</li> <li>• Check the IOM Intranet to see if IOM has a framework agreement or other type of standing/usual arrangement with a given donor.</li> <li>• Keep donors informed of IOM activities, as well as ongoing and prospective projects. Newsletters are a good way to share information on activities in a concise and user-friendly format.</li> <li>• In addition to local distribution, Country Offices can send their newsletters to DRD, which will then share them with the Permanent Mission in Geneva of any donor specifically mentioned or referenced therein. Thus, be sure to include relevant donors’ names, national flags, and/or agency logos in your project, thematic, country-level, or regional-level newsletter if a specific donor or a project funded by a given donor is mentioned or described in the text.</li> <li>• Share IOM’s <i>Migration Initiatives</i> to provide a potential donor with a better understanding of the scope and diversity of IOM projects, as well as the extent of the Organization’s presence around the world.</li> <li>• A donor visit to the implementation site can be an effective way to show concrete results of IOM’s work.</li> <li>• When appropriate, volunteer to represent IOM at appropriate public events or arrange for IOM experts to brief donors about projects and topics of interest. The regular sharing of IOM’s technical expertise and other information will highlight organizational capacities and experience.</li> </ul>

### Correspondence with Current and Prospective Donors

- Be aware of protocol issues, such as the proper way to address ambassadors and when to use formal approaches in verbal and written correspondence.
- When addressing a donor by e-mail, double-check the wording and style/tone used, as the donor may forward the e-mail to the capital. It is always better to use professional language and not be informal with donors in writing, even by e-mail.
- When submitting a proposal or a report by e-mail, make sure that there are no internal e-mails/correspondence attached in the “trail”.
- When responding to internal e-mails, make sure donors are not included in the distribution list.
- Be careful of wording, as e-mails can easily lead to misunderstandings. Remember that offended donors can have serious repercussions on the programme and for the Organization itself.
- It is always advisable to submit proposals or reports with a formal cover letter, dated and signed.
- Keep copies on file. These are imperative for follow-up activities.
- Inform donors if a project or programme continues to be funded by other donors. It is a de facto indicator of project success.

## III.1 Private Sector Liason



### Resource

The DRD Private Sector Liaison Unit is responsible for guiding in their interaction with private sector entities and can be contacted at [drdpsl@iom.int](mailto:drdpsl@iom.int)

Keep in mind that “traditional” donors, such as governments, are not the only potential source of funding for IOM projects. Many aspects of migration are also of interest to other stakeholders, including entities in the private sector such as private companies, foundations and academic or research institutions, as they can also have a significant and valuable role to play in realizing the positive benefits of migration and in minimizing its costs. Successful partnerships between IOM and the private sector focus on areas and subjects of mutual interest and shared values, in light of each other’s resources, expertise and skills.

Private sector fundraising is a long-term effort, requiring ongoing information sharing and communication with a view to building the trust of a given company/foundation in IOM. This statement holds true for partnerships with governments too. However, partnerships between IOM and the private sector can require more careful research in advance of any formal partnership being made as such official ties can have complex consequences on IOM's image and reputation. Thus, careful consideration is required before entering into any partnership or otherwise formalizing ties between IOM and a private entity. Bear in mind that IOM involvement or partnership with a private firm lends additional credibility to the private entity and could even be interpreted as a kind of endorsement from IOM on the products and services produced by the company in question. Thus, the importance of thorough research and careful consideration between entering into a partnership with a private firm cannot be over-emphasized.

When considering a potential partnership with an entity in the private sector, remember that their support to a given project can take various forms ranging from funding, provision of services, personnel, equipment or facilities, advocacy for certain issues, exchange of knowledge and expertise, or cooperation in research or other specialized activities. Table 1.4 provides some practical tips on actions to take and avoid at different stages in the liaison process with an entity in the private sector.

**Table 1.4: Private Sector Liaison Do’s and Don’t’s**

DO	
Outreach	<ul style="list-style-type: none"> <li>• Develop a private sector outreach strategy, including a mapping of potential partners active in your country such as private corporations and businesses, foundations, and academic institutions and universities.</li> <li>• Review the website or other publications by a given private sector entity to identify its priorities. For private companies and businesses, check if they have a Corporate Social Responsibility (CSR) policy.</li> <li>• Coordinate with DRD’s Private Sector Liaison (PSL) Unit before liaising with a potential partner to avoid duplication of efforts, competition between IOM Country Offices and other potential issues</li> <li>• Identify a common purpose that IOM and the private sector entity share. Think of how to raise the interest of the potential business and how to use its support to further the goals of your project.</li> <li>• Check regularly the UN Global Compact website (<a href="http://www.unglobalcompact.org">www.unglobalcompact.org</a>) as this also provides more information about the eligibility of potential private sector partners.</li> <li>• Maintain regular contact with the DRD/PSL to stay updated on new partnerships between IOM and the private sector and lessons learned in the Field from past collaboration.</li> </ul>
Regular Liaison	<ul style="list-style-type: none"> <li>• Once you have identified potential partners, researched their core activities and determined potential areas of cooperation, contact them to introduce the Organization as a whole. Use a global tool, like <i>Migration Initiatives</i>, to demonstrate the range and diversity of IOM programming and presence worldwide.</li> <li>• Build and cultivate relationships with the private sector by referring articles of interest to them, even when there is no specific project under consideration. This will develop their understanding of IOM’s priorities and activities.</li> <li>• Invite contacts from the private sector to IOM events. Think of ways to include the private sector in informational open house events.</li> </ul>
DON’T	
	<ul style="list-style-type: none"> <li>• Confuse the motivations of the private sector with those of government or NGOs. Businesses need to clearly see their advantages and profit motive of entering into partnerships with IOM.</li> <li>• Select a private sector partner without liaising first with the DRD/PSL. As with all other contracts, be sure to coordinate and obtain the approval of LEG before signing any agreement with an entity in the private sector.</li> <li>• Enter into negotiations with businesses not recommended by Global Compact. IOM does not recommend partnerships with companies engaged in present or past weapons sales or manufacture, forced or child labour, suspected or confirmed corrupt practices, extractive industries or other environmentally destructive businesses.</li> <li>• Engage in partnerships that could adversely impact the image of IOM, its impartiality and reputation.</li> </ul>

### III.1 Co-funding



#### Definition

**Co-funding** (also referred to as co-financing or cost sharing) is when a donor will provide only a percentage of the overall budget and not the entire amount requested.

Some donors may stipulate a co-funding obligation. This means that the donor will provide only a percentage of the overall budget as opposed to the entire amount requested. If you have identified a donor who has this requirement, it is important to think about this carefully starting in the conceptualization phase and again at future stages of the project development and implementation process.

There are a number of reasons why a donor may require co-funding (also referred to as *co-financing* or *cost sharing*). Generally, it is seen as a way of (a) promoting the grant recipient's ownership of the project, (b) building the recipient's capacity (for example, by building resource mobilization capacities), or (c) making the project more sustainable by requiring that the recipient contribute some of its own funds or find alternative sources of funding for the project. Co-funding may also be seen as a way of promoting coordination and cooperation among donors in an effort to reduce duplication, promote harmonization, and increase aid effectiveness.

A co-funding requirement can take different forms. IOM may be required to generate revenue from the project, to contribute its own resources, to secure financial contributions from other donors, or to provide in-kind contributions. Please note that some donors, such as the European Commission, do not consider/count in-kind contributions towards co-funding requirements, only as a value-for-money consideration.



#### Definition

An **in-kind contribution** is a non-cash input that can be given a cash value.



### Resource

IOM's Co-Funding Group (CFG) can be contacted at: [CoFundingGroup@iom.int](mailto:CoFundingGroup@iom.int) for advice and more detailed information on internal requirements for projects with a co-funding obligation. Please note that endorsement from the CFG is required before submission to donors and funding mechanisms for all project concept notes or proposals with such an obligation regardless of whether IOM is the main applicant or just the implementing partner.

If applicable, IOM is tasked with finding the remaining amount of project funding. The amount of co-funding required can vary. In the past, IOM has needed to source from 5 per cent to 50 per cent co-financing. However, the most common co-financing requirement encountered by IOM is 20 per cent of the total budget.

When developing a project concept note or proposal and its corresponding budget when applying to a funding source/mechanism with a co-funding obligation, it is important to consider the level of donor interest in the concept. For instance, if 20 per cent co-funding is required by the funding source/mechanism you are applying to and if realistically you have reason to believe you will be able to secure EUR 200,000 in co-funding, you should limit the proposed budget to EUR 1,000,000.

Generally, IOM is permitted to secure co-funding over the course of the project. However, IOM must commit to providing the co-funding at the time of agreement signing. Co-funding sources should be identified before the project is submitted to the donor, as the availability of co-funding can enhance the credibility of the project proposal with the donor, and consequently its chances of being selected for funding.

IOM's Co-funding Group (CFG) reviews the co-funding status of all affected ongoing projects and new projects in the pipeline, provides updated status reports on all obligations, and monitors the implementation of those strategies. The CFG also strives to minimize the Organization's potential exposure to unmet co-funding requirements.

Advanced coordination and endorsement from the CFG is an internal requirement even in the concept notes stage. Before formally submitting a concept note to a potential donor or funding mechanisms, you must complete and submit the CFG Monitoring Form (available on the Intranet) to indicate any serious indications or commitments from a donor to fund a given concept note if it is accepted for funding from the primary donor. However, at this early stage, it is sufficient to present indicative co-funders; and co-funding amounts only, i.e., when there is sufficient reason to believe a certain donor is likely to provide funding to a project, if it is selected for funding.

One of the main sources for co-funding is direct contributions from other donors. This requires active liaison with these agencies. Other IOM offices, such as the Country Office with Resource Mobilization Functions (CORMF) at the donor capital level and DRD at IOM Headquarters, can also play an active role in the identification of co-funding for IOM projects.

For the most part, attempts to secure co-funding from other donors are similar to regular fundraising activities, such as developing a fundraising strategy, building and maintaining donor partnerships, and being familiar with donors and understanding their priorities. These activities are described in MA/54: Donor Relations Manual. However, there are additional considerations that may assist you in securing co-funding.

Keep in mind the purposes of co-funding, and review donor agencies' instructions on funding mechanisms and their literature on co-funding. Consider the following:

- Is the co-funding requirement in place due to limited funds? If so, demonstrate to the donor the value of the project idea, as well as the added benefits of donor cooperation and the harmonization of efforts in a single project.
- Is the co-funding requirement in place to encourage the sustainability of the project? In some cases, IOM may have relied on a traditional donor for funding certain activities, and the donor may be scaling down support to the sector and seeking to ensure that the projects they do fund have the potential for continuation even after their funding ceases. In such a case, it may be beneficial to describe to a potential co-funder the previous projects and their successes, as well as the reason for the traditional donor's co-funding requirement. Facilitating communication between a potential new donor and a traditional donor can also help to convince a new donor of the value of the project proposal, particularly if the traditional donor is highly satisfied with IOM's previous performance.
- Is the co-funding requirement in place to encourage donor effectiveness? It is very important to keep abreast of donor coordination modalities and dynamics in the target countries. Be aware of coordination mechanisms, such as donor coordination meetings and sector-wide cooperation agreements, and target

donors with common priorities or a history of cooperation. It can be a very effective strategy to pitch a project proposal to potential co-funding donors not only as deserving of funding in its own right but also as an opportunity for increased donor effectiveness.

#### IV. PROJECT INFORMATION MANAGEMENT

During the conceptualization phase of a project, various forms of information are generated. This information is to be collected and disseminated largely for the purposes of preparing a full proposal, as described in Module Two. The appropriate management of the following information, files, and documents will ensure that the efforts undertaken during conceptualization can be put to good use in the future.

**Table 1.5: Information Management in Conceptualization**

Information/ documents	Party responsible	Process	Purpose
Potential for success checklist	Project developer	Project developer keeps on file.	Guidance for future stages of project development or to demonstrate why a project idea was reformulated.
Stakeholder analysis	Project developer	Project developer keeps on file.	Input into future stages of project development.
Problem tree analysis	Project developer	Project developer keeps on file.	Input into future stages of project development.
Results tree analysis	Project developer	Project developer keeps on file.	Input into future stages of project development.
Project strategy analysis	Project developer	Project developer keeps on file.	Input into future stages of project development.
Draft concept note	Project developer	Project developer keeps on file.	Kept on file until ready for review and endorsement procedures described in Module Three.



## Tool 1.10 Conceptualization Checklist

	Required	Recommended
<b>Transforming ideas into projects</b>		
Have you conducted a needs assessment?		
Have you assessed IOM's capacity, Mission, and strategic focus?		
Have you considered donor priorities and funding mechanisms?		
Have you considered the priorities, strategies, and policies of stakeholders?		
Have you completed the checklist for assessing the potential for success?		
Have you discussed the project idea with the Chief of Mission or Regional Director and the Regional Thematic Specialist?		
If required, have you obtained a letter of support from the host government?		
Have you conducted a stakeholder analysis?		
Have you completed a stakeholder matrix?		
Have you completed a Stakeholder Influence and Importance Matrix?		
Have you used participatory methodologies when conducting the stakeholder analysis?		
Have you completed a Participation Ladder?		
Have you conducted a problem analysis?		

	Required	Recommended
Has a Problem Tree been completed?		
Did the main stakeholders participate in the problem analysis?		
Has a results analysis been conducted?		
Did the stakeholders agree on a vision statement?		
Has a Results Tree been completed?		
Has a project strategy analysis been conducted?		
Did the main stakeholders participate in the project strategy analysis?		
Did the stakeholders agree on a project strategy?		
Has the project strategy been defined using clear selection criteria?		
Have you completed a factor analysis using the PESTLE analysis?		

#### Concept note

Have you prepared a concept note, if required?		
Is project title brief, in keeping with IOM's mandate and reflect the country/region of focus?		

#### Cross-cutting principles

Have you used HRBAP to develop the project idea?		
Have you mainstreamed gender into the project idea?		
Have you taken into account possible negative impacts of the project on the environment?		

	Required	Recommended
Have you revised the project strategy to maximize the durability of the project's results, or the continuation of the project's benefits once external support ceases?		

#### Donor liaison

Have you contacted DRD for guidance on donor liaison, if required?		
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#### Co-funding

Have you checked if there is a co-funding requirement?		
If there is a co-funding requirement, have you received the Co-Funding Group's approval to proceed?		

#### Project information management

Have you documented the results of the above processes and retained them for future use?		
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## List of Resources

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### Publications

#### European Commission

- 2004 *Aid Delivery Methods: Volume One – Project Cycle Management Guidelines.*
- 2005 *ECHO Manual: Project Cycle Management.* Directorate-General for Humanitarian Aid, Freiburg.

#### Inter-Agency Standing Committee

- 2006 *Gender Handbook for Humanitarian Action.*

#### International Labour Organization South-East Asia and the Pacific Multidisciplinary Advisory Team

- (undated) Online Gender Learning and Information Module. See [www.ilo.org/public/english/region/asro/mdt-manila/training/unit3/design.htm](http://www.ilo.org/public/english/region/asro/mdt-manila/training/unit3/design.htm)

#### International Organization for Migration (IOM)

- 2005 *The Millennium Development Goals and Migration.* IOM Migration Research Series No. 20, IOM, Geneva.
- 2011 *Glossary on Migration (2<sup>nd</sup> Ed.).* IOM, Geneva.

#### Lang, S.

- 2007 Environmental Sustainability Check-List: To Be Used for Projects Submitted under EU Regional Funding. World Wildlife Fund. See [http://assets.panda.org/downloads/sustainability\\_check\\_wwf.pdf](http://assets.panda.org/downloads/sustainability_check_wwf.pdf)

#### New Zealand's International Aid and Development Agency

- 2006 *Environment in International Development.*

#### Norwegian Refugee Council

- 2008 *Camp Management Toolkit.*

Office of the Special Advisor on Gender Issues and Advancement of Women

- 2001 *Gender Mainstreaming: Strategy for Promoting Gender Equality.*

Office of the United Nations High Commissioner for Human Rights

- 2006 *Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation.* United Nations, New York and Geneva.

Organization for Economic Cooperation and Development

- 2006 *Applying Strategic Environmental Assessment: Good Practice Guidance for Development Cooperation.* p. 32.

Swedish International Development Cooperation Agency

- 2002 *Sida's Policy for Green Procurement: For Cooperating Partners.* Swedish International Development Cooperation Agency.

Twigg, J.

- 2007 *Tools for Mainstreaming Disaster Risk Reduction: Social Impact Assessment, Guidance Note 11.* ProVention Consortium Secretariat, International Federation of Red Cross and Red Crescent Societies, Geneva.

United Nations Department of Public Information

- 2010 *Goal 7: Ensure Environmental Sustainability Fact Sheet.* No. DPI/2650 G, High-level Plenary Meeting of the General Assembly, New York, 20-22 September. See [www.un.org/millenniumgoals/pdf/MDG\\_FS\\_7\\_EN.pdf](http://www.un.org/millenniumgoals/pdf/MDG_FS_7_EN.pdf)

United Nations Development Group

- 2003 *Common Understanding of a Human Rights Based Approach to Development Cooperation.*
- 2009 *Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF: A Guidance Note for United Nations Country Teams and Implementing Partners Teams.*

- United Nations Development Programme  
2009 *Handbook on Planning, Monitoring and Evaluating for Development Results*. United Nations Development Programme, New York.
- United Nations Economic and Social Council  
1997 Coordination of the Policies and Activities of the Specialized Agencies and Other Bodies of the United Nations System: Mainstreaming the Gender Perspective into All Policies and Programmes in the United Nations System, Report of the Secretary-General (E/1997/66).

### Websites

IOM

[www.iom.int/](http://www.iom.int/)

IOM: International Migration Law

[www.iom.int/jahia/Jahia/international-migration-law/lang/en](http://www.iom.int/jahia/Jahia/international-migration-law/lang/en)

IOM: International Migration Law Database

[www.imldb.iom.int/section.do](http://www.imldb.iom.int/section.do)

IOM: Publications

<http://publications.iom.int/bookstore>

IOM: Research on Migration Law (publications)

[www.iom.int/jahia/Jahia/pid/1688](http://www.iom.int/jahia/Jahia/pid/1688)

IOM: IOM Development Fund

[www.iom.int/1035/](http://www.iom.int/1035/)

Inter-Agency Standing Committee

[www.humanitarianinfo.org/iasc/](http://www.humanitarianinfo.org/iasc/)

Joint United Nations Programme on HIV/AIDS

[www.unaids.org/en/](http://www.unaids.org/en/)

Status of Ratification of Human Rights Instruments by Country  
[www2.ohchr.org/english/law/docs/HRChart.xls](http://www2.ohchr.org/english/law/docs/HRChart.xls)

United Nations Development Group: United Nations Development Assistance Framework  
[www.undg.org/?P=232](http://www.undg.org/?P=232)

United Nations Development Programme: Multi-Donor Trust Fund Office  
<http://mdtf.undp.org/>

United Nations Environment Programme: Resource Centre – Mainstreaming Environment into Humanitarian Action  
<http://postconflict.unep.ch/humanitarianaction/>

United Nations Women: Gender Mainstreaming  
[www.un.org/womenwatch/osagi/gendermainstreaming.htm](http://www.un.org/womenwatch/osagi/gendermainstreaming.htm)

## **IOM documents and resources**

### **IOM bulletins, instructions, and manuals**

- IB/63: IOM Participation in UN Country Teams (UNCTs)
- IN/138: IOM Data Protection Principles
- MA/54: Donor Relations Manual
- MA/59: Guidelines on Implementing the IOM Programme Policy on Migrants and Gender Issues
- MA/61: Gender Sensitive Budgeting Booklet
- MA/62: Guide on Gender Indicators for Project Development
- MA/88: IOM Data Protection Guidelines

### **IOM forms and templates**

- IOM proposal template
- CFG Monitoring Forms (depending on whether IOM is the main applicant or the implementing partner)

**IOM reference materials and thematic guidelines**

- IC/2004/3: IOM and International Migration Law
- IOM agreements with the United Nations and United Nations agencies
- International Migration Law and Legal Affairs Department: Protection of Persons Involved in Migration: Note on IOM's Role
- MC/INF/298: The Human Rights of Migrants: IOM Policy and Activities
- MC/2216: IOM Strategy: Report of the Chairperson
- SCFP/18: IOM and UN Reform, Including the Cluster Approach

## Annex 1.1 IOM Concept Note Template

### Project Rationale

In this section, use the outcomes of the stakeholder and problem analysis. This section should include an explanation of:

- the core problems that the project aims to address;
- who the main stakeholders are;
- the needs of the intended beneficiaries;
- the relevant national/regional priorities; and
- the relevance of the project idea to the donor priorities.

### Proposed Response

In this section, use the outcomes of the results and project strategy analyses. This section should include a vision statement, which outlines the alternative situation as a result of an improvement regarding the problem(s) identified (through results and project strategy analyses). This section should also include a summary of the main outcomes and activities.

### IOM Capacity to Address the Migration Management Issues Identified

In this section, identify IOM's comparative advantage in relation to other possible organizations in addressing the core problem. This can include operational capacity and expertise, relationships with and access to beneficiaries, technical expertise and resources, and logistical capacities.

### Partners

In this section, identify the partners or potential partners for the project (they will have been identified during the stakeholder analysis).

### Estimated Budget

Include a one-line estimation of the total cost of the proposed response.

## Annex 1.2 Using the Principles of International Human Rights Law in a Human Rights Based Approach to Programming

There are nine core international human rights treaties that, together with the Universal Declaration of Human Rights, should be taken into account when applying a human rights-based approach in project development and implementation. Each of these treaties has established a committee of experts to monitor and follow up on the implementation of each treaty by its State parties. The nine core treaties and their committees are listed in the table below.

### Core International Human Rights Treaties and Monitoring Bodies

United Nations treaty	Monitoring body
International Covenant on Economic, Social and Cultural Rights	Committee on Economic, Social and Cultural Rights
International Covenant on Civil and Political Rights	Human Rights Committee*
International Convention on the Elimination of All Forms of Racial Discrimination	Committee on the Elimination of Racial Discrimination
Convention on the Elimination of All Forms of Discrimination against Women	Committee on the Elimination of Discrimination against Women
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment	Committee against Torture
Convention on the Rights of the Child	Committee on the Rights of the Child
International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families	Committee on Migrant Workers
International Convention for the Protection of All Persons from Enforced Disappearance	Committee on Enforced Disappearances
Convention on the Rights of Persons with Disabilities	Committee on the Rights of Persons with Disabilities

Notes: The full texts of the above treaties can be found in the International Migration Law Database, available at [www.imldb.iom.int](http://www.imldb.iom.int). Countries' status of ratification of the above instruments can be found at <http://treaties.un.org/Pages/ParticipationStatus.aspx>

\*The Human Rights Committee is different from the Human Rights Council.

## Treaty-based Procedures

Each committee undertakes certain procedures, the most common of which is the reporting procedure. Additional procedures can include hearing individual or inter-State complaints, undertaking inquiries, issuing general comments. For example, the Committee on Migrant Workers adopted the General Comment on Migrant Domestic Workers in light of the principles of the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families.

## Charter-based Procedures

Charter-based procedures are those procedures undertaken by bodies created under the Charter of the United Nations, including those procedures of the Human Rights Council.<sup>1</sup> In general, Charter-based procedures apply the provisions of the Charter of the United Nations and the Universal Declaration of Human Rights.

For the purposes of a human rights-based approach to programming, consult the following sources:

- Universal Periodic Review (see [www.ohchr.org/EN/HRBodies/UPR/Pages/Documentation.aspx](http://www.ohchr.org/EN/HRBodies/UPR/Pages/Documentation.aspx));
- Special Procedures of the Human Rights Council (see [www2.ohchr.org/english/bodies/chr/special/index.htm](http://www2.ohchr.org/english/bodies/chr/special/index.htm)). The following thematic mechanisms and country mechanisms are relevant to migration issues:
  - Special Rapporteur on the human rights of migrants
  - Working Group on Arbitrary Detention
  - Special Rapporteur on the human rights of internally displaced persons
  - Special Rapporteur on contemporary forms of racism, racial discrimination, xenophobia and related intolerance

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<sup>1</sup> The main procedures under the Human Rights Council are the Complaints Procedure, the Universal Periodic Review, and the Special Procedures of the Human Rights Council. For more information, contact the International Migration Law Unit at [iml@iom.int](mailto:iml@iom.int)

- Special Rapporteur on trafficking in persons, especially in women and children
- Independent Expert on minority issues
- Special Rapporteur on the rights of indigenous peoples
- Special Rapporteur on torture and other cruel, inhuman or degrading treatment or punishment
- Independent Expert in the field of cultural rights
- Independent Expert on the question of human rights and extreme poverty
- Independent Expert on the situation of human rights in Haiti
- Special Rapporteur on the situation of human rights in Cambodia
- Independent Expert on the situation of human rights in Burundi
- Special Rapporteur on the situation of human rights in Myanmar.

## Annex 1.3 Selected International Migration Law Instruments

Criminal	Labour	Humanitarian	Maritime
United Nations Convention against Transnational Organized Crime	Convention concerning Migration for Employment (Revised 1949)	Geneva Convention relative to the Protection of Civilian Persons in Time of War	United Nations Convention on the Law of the Sea
Protocol against the Smuggling of Migrants by Land, Sea and Air, supplementing the United Nations Convention against Transnational Organized Crime	Convention concerning Migrations in Abusive Conditions and the Promotion of Equality of Opportunity and Treatment of Migrant Workers	Protocol Additional to the Geneva Conventions of 12 August 1949, and Relating to the Protection of Victims of International Armed Conflicts (Protocol I)	International Convention for the Safety of Life at Sea
Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime	International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families*	Protocol Additional to the Geneva Conventions of 12 August 1949, and Relating to the Protection of Victims of Non-International Armed Conflict (Protocol II)	Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation
<i>Refugees</i>	<i>Nationality and citizenship</i>	Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict	Convention on Facilitation of International Maritime Traffic
Convention relating to the Status of Refugees	Convention on the Reduction of Statelessness	<i>Internally displaced persons</i>	<i>Diplomatic and consular relations</i>
Protocol relating to the Status of Refugees	Convention relating to the Status of Stateless Persons	Guiding Principles on Internal Displacement	Vienna Convention on Consular Relations

Note: \*Also an international humanitarian law instrument.

## Annex 1.4 Guiding Questions for Incorporating a Human Rights-based Approach to Programming into the Project Cycle

### Why is a Human Rights-based Approach to Programming Relevant?

As established in part I, point 2 of the IOM Strategy document,<sup>1</sup> the Organization's activities aim "to enhance the humane and orderly management of migration and the effective respect for the human rights of migrants in accordance with international law".

IOM aims to promote the enjoyment, protection, and fulfilment of the human rights of migrants in more practical ways. For example: by establishing education programmes for migrant children, IOM is contributing to the enjoyment of the right to education set forth in the Convention on the Rights of the Child; IOM's provision of shelter to victims of trafficking protects the fundamental human right not to be held in slavery or servitude, as established in the Universal Declaration of Human Rights and in other instruments; IOM's medical programmes ensure migrants' fitness to travel and facilitate health-care follow-up in receiving countries, thus promoting the right to an adequate standard of living, including health and well-being, as established in the International Covenant on Economic, Social and Cultural Rights.

Some guiding questions to help you in the process of incorporating a human rights-based approach to programming are found below.

### During Project Proposal and Design

- Does the project proposal recognize that migrants, regardless of their migration status, are holders of human rights by virtue of being human beings (principle of the universality of human rights)?
- Does the project proposal recognize that the human rights of migrants are interdependent and indivisible?

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<sup>1</sup> See MC/2216: IOM Strategy: Report of the Chairperson, Annex.

- Does the project proposal recognize the equality of human rights for migrants? (That is, migrants should not be discriminated based on race, sex, age, language, religion, political or other opinion, national or social origin, disability, property, birth, sexual orientation, marriage status, or other social condition).
- Are the core human rights principles guiding the project proposal clearly identified (in the summary, rationale, and Results Matrix)?
- Are the rights-holders clearly identified in the project proposal? Whose rights are being promoted?
- Are the related unfulfilled human rights and, in particular, the main capacity gaps of rights-holders to claim their rights expressed in the project proposal?
- Are the root causes of the exclusion, marginalization, discrimination, and lack of capacities of the duty-holders (that is, the State) expressed in the project proposal?
- Have potentially vulnerable, marginalized, and discriminated migrant groups been incorporated in the development of the project proposal? For example, have the most discriminated rights-holders been able to participate actively and meaningfully in expressing their needs and the processes that should be addressed in order to enjoy their rights? Does the project proposal contribute to changing the needs-holders (targeted population) into active rights-holders?
- How is the project developing capacities to empower and increase the performance of rights-holders to claim and exercise their rights?
- Are the duty-bearers in the project clearly identified? What are their duties or obligations? How is IOM contributing (not replacing) to the fulfilment of the obligations of the duty-bearers?
- Is IOM's role in supporting State obligations to respect, protect, and fulfil human rights clearly described in the project proposal?

- Are duty-bearers involved in the project development process?
- Is the project proposal increasing the performance of duty-bearers in delivering basic services and protecting migrants? How is the project proposal contributing to the strengthening of duty-bearer's abilities to fulfil their human rights obligations?
- Does the project proposal build on the recommendations of treaty-based and charter-based procedures of the United Nations? For example:
  - reports of the Committee on the Rights of the Child
  - recommendations of the Special Rapporteur on the human rights of migrants
  - shadow reports by non-governmental organizations to treaty bodies
  - reports by the United Nations and United Nations agencies, including reports from peacekeeping missions.
- How does the project proposal support the State under those recommendations and other obligations derived from international migration law?
- Does the project proposal build on the recommendations of other international, regional, and national actors? For example:
  - Office of the Ombudsperson or national protection institutions
  - non-governmental organizations with observer status at IOM (such as Amnesty International)
  - Inter-American Court of Human Rights, or European Court of Human Rights
  - academic research
  - other international stakeholders (such as the World Bank)
  - migrants, victims of human rights abuses (direct information from these actors).
- Does the project proposal aim to strengthen accountability mechanisms at the national and international levels?

- If feasible, does the project proposal promote the accountability of duty-bearers to uphold, protect, and fulfil human rights and to be held accountable if these are not enforced?
- If feasible, does the project proposal provide aggrieved rights-holders with opportunities for appropriate redress before a competent court or other adjudicator in accordance with the rules and procedures provided by law? Does the project proposal strengthen accessible mechanisms of redress when rights are violated?
- How does the proposal contribute to the progressive realization of specific human rights?
- Does the project proposal promote an intersectoral, holistic approach for the enjoyment of social, economic, cultural, civil, and/or political rights?
- Does the project proposal identify a need for duty-bearers to harmonize national law and policy with the provisions of international migration law?

### During the Implementation Process

- Does the project proposal adequately address requirements for human rights expertise during project implementation (for example, using the support of the International Migration Law Unit or the Office of the High Commissioner for Human Rights)?
- Do staff require training in a human rights-based approach to programming?
- Are there mechanisms to incorporate other partners in providing expertise on or support for the implementation of a human rights-based approach to programming?
- Are there mechanisms in place in terms of an advocacy strategy during project implementation?

- Are there means to support governments in their reporting to the various human rights based mechanisms (that is, treaty-based and charter-based procedures) relevant to the project?

### **During Monitoring and Evaluation**

- Are project indicators disaggregated – to the extent possible – by age, disability, displacement, ethnicity, gender, membership of a particular vulnerable group, nationality, rural area, or any other social condition?
- Are project indicators linked – to the extent possible – to the fulfilment of specific human rights?
- Are there mechanisms and processes to ensure the active participation of rights-holders, in particular the most excluded and marginalized, and duty-bearers in the monitoring and evaluation systems?
- Are quantitative and qualitative indicators clearly identified in line with the realization of human rights?

## Annex 1.5 Guiding Questions for Mainstreaming Gender into the Project Cycle

### Why is Gender Mainstreaming Relevant?

In 1995, the Member States of IOM adopted Resolution MC/1853, which states that “IOM is committed to ensuring that the particular needs of all migrant women are identified, taken into consideration and addressed by IOM projects and services.” Since the adoption of this policy, IOM is expected to include a section in all project documents that explains how the project addresses the needs and participation of women beneficiaries.

More broadly, assessing the implication of a project on men and women with a view to supporting the achievement of gender equality is an important part of the human rights-based approach.

Listed below are guiding questions to help you in the process of mainstreaming gender into the project cycle.

### During Project Proposal and Design

- Does the proposal avoid stereotypes and discrimination by refraining from assuming traits of, or assigning roles to, men or women? Keep in mind that neither men nor women are homogenous groups, and neither group faces vulnerabilities equally. While women may face specific vulnerabilities, they should not be considered vulnerable based solely on their gender, nor should men be considered free from vulnerabilities based solely on their gender. Depending on the situation, any individual can become vulnerable, so specific situations and how people cope with the situations must be analysed in order to establish vulnerabilities.
- Does the project proposal avoid the use of token sentences such as “gender will be mainstreamed” and instead incorporate gender considerations into the project document?

- Does the project proposal use gender-sensitive language? Review the document to ensure that:
  - the terms *man, woman, men, women, him, her, he, she*, have not been used to refer to people who may also be of another sex;
  - you have not specified an individual's gender unless it is relevant.
  
- Has a gender analysis been conducted to:
  - determine the different ways in which men and women experience the problems being addressed by the project, and the different impact all of the project's activities will have upon men and women;
  - identify the respective situation of men and women in a given context;
  - analyse the ways in which men and women interact with each other in a given context;
  - understand men's and women's roles in society, such as regarding their productive and reproductive roles;
  - assess who possesses, controls, or accesses resources;
  - assess if gender roles are fixed or flexible;
  - assess the presence of violence in relations between men and women?

Furthermore, have the results of this analysis been used to define a strategy and project activities that would respond to the needs of men and women?

- Has sex-disaggregated data been used to assess whom the target group consists of? Projects can only be tailored to meet the needs of the beneficiaries if they are based on sound and specific data. Ideally, sex-disaggregated data should also be correlated with age.
  
- Does the project include a gender-proportionate target? The gender proportion of beneficiaries should reflect that of the target population, except in cases of targeted action.
  
- Has a needs assessment been conducted to identify men's and women's needs in a given setting using participatory methods?

- Have potential barriers to participation been examined and strategies and activities to overcome these barriers included in the proposal? Barriers to participation can include, for example, cultural barriers to joint and equal participation for men and women, work, and childcare or family care responsibilities that limit the potential for participation. Strategies to overcome such barriers can include timing activities so that both men and women can participate, and using information channels that can reach both men and women.
- Have both practical and strategic needs been considered? Practical needs are those needs that are immediate, visible, and concrete (for example, needs associated with food, shelter, and water). Addressing practical needs improves the immediate condition of men and women but does not address power relations between the genders in society. Strategic needs are longer-term needs linked to men's and women's positions in relation to each other. Meeting these needs involves helping men and women realize their human rights. Addressing practical and strategic needs should not be seen as separate processes but rather as mutually reinforcing.<sup>1</sup>
- Has an empowerment component been included? Empowerment can mean a greater role for women in decision-making, or a change in behaviour and gender roles. The inclusion of an empowerment component will enhance the sustainability of the project.
- Does the Results Matrix include indicators that are gender-sensitive? Refer to MA/62: Guide on Gender Indicators for Project Development for information on developing gender-sensitive indicators.
- Is the budget gender-sensitive? Have all of the gender components received adequate funding? Refer to MA/61: Gender Sensitive Budgeting Booklet for additional information, and consider doing the following steps:
  - describe the situation of women and men, girls and boys (and different sub-groups) in the sector;

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<sup>1</sup> Inter-Agency Standing Committee, *Gender Handbook for Humanitarian Action* (2006).

- check whether your strategy is gender-sensitive, that is, whether it addresses the situation you described;
- check that an adequate budget is allocated to implement the gender-sensitive strategy;
- check whether the expenditure is being spent as planned;
- examine the impact of your project, that is, whether it has addressed the needs of both men and women.

### **During Project Implementation**

- Has the hiring of a gender-balanced project team been promoted?
- Is gender expertise reflected in the terms of reference for project staff?
- Have staff and implementing partners received training so as to avoid gender stereotypes?
- Have local institutions working on gender equality been involved in project implementation, to the extent possible, especially the national gender machinery?

### **During Monitoring and Evaluation**

- Have gender-sensitive indicators been developed and used during project monitoring and evaluation?
- Has the contribution of the project towards addressing men's and women's issues been highlighted?
- Has particular attention been paid to the role of the project in contributing to the advancement of gender equality?

## Annex 1.6 Guiding Questions for Incorporating Environmental Sustainability into the Project Cycle

### Why is Environmental Sustainability Relevant?

Goal 7 of Millennium Development Goals aims to ensure environmental sustainability, in part by integrating the principles of sustainable development into country policies and programmes and by reversing the loss of environmental resources.<sup>1</sup>

Listed below are guiding questions to help you in the process of incorporating environmental sustainability into the project cycle.

### During Project Proposal and Design<sup>2</sup>

- Have the following general environmental factors been considered in the design of the project?
  - Has the project been developed with the input of environmental and social stakeholders?
  - Does the project proposal avoid negative impacts on a protected site, a vulnerable area, a highly valuable ecosystem, or a nature park?
  - Has the project proposal excluded risks of water, air, or soil contamination?
  - Does the project proposal ensure that the smallest possible amount of resources are used for the project?
  - Does the project proposal include green procurement standards for all required goods, materials, and services?

<sup>1</sup> United Nations Department of Public Information, Goal 7: Ensure Environmental Sustainability Fact Sheet, No. DPI/2650 G, High-level Plenary Meeting of the General Assembly, New York, 20-22 September 2010. See [www.un.org/millenniumgoals/pdf/MDG\\_FS\\_7\\_EN.pdf](http://www.un.org/millenniumgoals/pdf/MDG_FS_7_EN.pdf)

<sup>2</sup> The first 12 groups of questions (that is, from general questions on project design to questions on technical assistance) are adapted from Stephanie Lang, Environmental Sustainability Check-list: To Be Used for Projects Submitted under EU Regional Funding (World Wildlife Fund, 2007). See [assets.panda.org/downloads/sustainability\\_check\\_wwf.pdf](http://assets.panda.org/downloads/sustainability_check_wwf.pdf)

- Has the proposal considered potential negative environmental and social impacts in a mid- and long-term perspective?
  - Will the project support or ensure the provision of environmental services, such as flood prevention, water purification, or air cleaning?
  - Will the project continue to be beneficial with the impacts of climate change (such as more or less rain, floods, or droughts)?
  - Will the project lead to a decrease in greenhouse gas emissions?
  - Will the project continue to be beneficial once the funding is used, and public funding needs are to be used for its maintenance?
- Have the following issues been considered for projects related to water infrastructure?
    - Does the project proposal exclude negative impacts on any water bodies, coastal waters, wetlands?
    - Does the project use the most recent water-saving and water-recycling technology?
    - Does the project support or promote realistic water pricing?
    - Will the project lead to more efficient water use, reduced water use, or water recycling?
    - Does the project propose activities to raise awareness of water scarcity, water saving, or water recycling?
    - Will the project lead to an improvement of the water quality of a certain water body?
    - Does the project support the establishment and management of protected areas in water bodies?
    - Does the project include technologies for migratory fish, such as ladders or detours?
- Have the following issues been considered for projects related to transport?
    - Will the project decrease carbon dioxide emissions?
    - Will the project help to reduce the need for transport?
    - Will the project increase the use of public transport or the safe use of bicycles?

- Will the project lead to a decoupling of economic growth and road transport?
  - Will the project promote the most environmentally favourable transport solution?
  - Will the project lead to more goods being transported by sustainable modes?
  - Will the project continue to be relevant when considering the demographic changes ahead?
  - Has the project taken into consideration natural extreme conditions such as floods, earthquakes, or erosion, and their potential negative impacts?
  - Has the project taken into consideration alternative routings in order to avoid damaging valuable natural sites?
  - Will the project include technologies to mitigate negative impacts on biodiversity and species?
- Have the following issues been considered for projects related to water transport?
    - Will the project leave the morphology of the river unchanged?
    - Will the project help to adjust ships to the rivers instead of rivers to the ships?
    - Will the project continue to be relevant and beneficial with the impacts of climate change (such as floods or less water)?
    - Will the project ensure the intermodal shift from ships to other transport means?
    - Will the project support ships to be as energy efficient as possible?
    - Are technologies that reduce the amount of water pollution being used?
    - Does the proposal include strategies to minimize water contamination risks (such as oil spills or other accidents)?
    - Will the project ensure that protected riparian or sea habitats are not destroyed?
    - Will the project ensure mitigation measures for river or sea species?

- Have the following issues been considered for projects related to flood protection?
  - Is the flood protection technology suitable considering potential variations in water levels due to climate change?
  - Does the project concentrate on flood prevention rather than flood retention?
  - Does the flood protection use mainly natural flood protection measures, such as the restoration of flood plains?
  - Is the project part of an integrated river basin flood protection concept?
  - Will the project use mainly soft engineering measures for flood prevention?
  - Will the project support the management of protected areas and species in the river basin?
  - Is the project giving more space to rivers as a flood prevention measure?
  - Does the project have a strong transboundary flood prevention and protection cooperation element to avoid the “export” of flood risks downstream?
  - Does the project promote land-use patterns that make riverside areas less prone to flood risks?
  
- Have the following issues been considered for projects related to business investments?
  - Does the project support the business in complying with environmental regulation?
  - Has the project considered the most up-to-date technology for energy efficiency in production?
  - Does the project support the business in the use of more renewable energy sources?
  - Does the project support the business in using fewer natural resources, such as water or soil?
  - Has the project considered the most up-to-date technology for recycling and waste reduction?
  - Will the project support businesses in emitting fewer polluting or hazardous substances into the air, water, or soil?
  - Will the project develop, support, or market eco-technology?
  - Will the project support jobs in the field of eco-technology?
  - Does the proposal include green procurement rules for the purchase of materials, goods, and services?

- Does the project encourage company staff in developing, testing, or practising environmental protection measures?
- Have the following issues been considered for projects related to construction?
  - Will the project use more renewable energy sources for the building concerned?
  - Will the project lead to a construction with a neutral or even positive (energy-producing) carbon dioxide balance?
  - Will the project implement above-standard energy efficiency requirements and lead to the highest possible energy efficiency in the building concerned?
  - Will the project support private owners in making their buildings more energy efficient?
  - Will the proposal support the implementation of an energy audit for buildings?
  - Does the construction use brown-field space instead of green-field space?
  - Is the construction climate-change impact proof when looking at flood risks?
  - Does the proposal help to reduce the urban sprawl of cities?
  - Is the project linked to a sustainable transport concept instead of leading to more carbon dioxide emissions?
  - Has the impact of demographic changes (such as rural-urban migration) been considered in project design?
- Have the following issues been considered for projects related to renewable energies?
  - Does the project propose renewable energy investments that are adapted to local and regional circumstances?
  - Does the project prioritize small-scale, local renewable energy sources rather than large investments?
  - Does the project support the introduction of renewable energies via feed-in-schemes, tax incentives, or credit-schemes?
  - Does the project use the greatest possible energy efficiency in energy production?
  - Has the project involved local stakeholders?

- Does the project lead to more transparent prices for renewable energies?
  - Does the project support renewable energy procurement rules?
  - Does the project support the research, development, or refinement of renewable energy sources?
  - Have potentially negative impacts of renewable energy production on the environment and on habitats been considered and avoided?
  - Does the project include training schemes in renewable energy technology for relevant stakeholders?
- Have the following issues been considered for projects related to energy efficiency?
    - Will the project support energy efficiency for public buildings and houses?
    - Does the project create tax, credit, or policy instruments to achieve more energy efficiency in the long term?
    - Does the project develop the energy efficiency of public services for transport?
    - Does the project promote efficient use of energy by public services?
    - Does the project lead to more efficiency in energy provision or energy transport?
    - Does the project support the introduction of an energy-efficiency audit scheme?
    - Does the project support energy-saving procurement rules?
    - Does the project include an awareness-raising aspect to train end-users in energy saving measures?
    - Does the project train relevant stakeholders in energy-saving technology?
    - Does the project include a scheme to support private owners in investing in energy efficiency in their houses?
- Have the following issues been considered for projects related to waste?
    - Has the proposal considered forms of waste treatment other than landfills or incineration?

- Does the project reduce the amount of waste going to landfills?
  - Is this project part of a wider recycling strategy?
  - Does the project also contain an element to prevent waste from the start?
  - Does the project contain an element to change practices in the production or retail cycle in order to make waste more easily recycled?
  - Does the project promote industrial production practices aimed towards “close cycle” waste treatment?
  - Does the project support the enforcement of the “polluter-pays principle” for the waste sector?
  - Has the project achieved cooperation with the private sector?
  - Does the project support households in avoiding or recycling waste?
  - Does the project take into consideration awareness-raising elements for waste prevention and recycling?
- Have the following issues been considered for projects related to the protection of nature?
    - Is the project linked to a wider national or transboundary conservation or protection strategy?
    - Will the project also have social benefits?
    - Will the project also have economic benefits for the region?
    - Will the project recognize or monetize the ecosystem services provided?
    - Does the project contain an awareness-raising element?
    - Has this project achieved cooperation with the private sector?
    - Will the project provide for sustainable funding schemes for conservation actions even after the end of the project?
    - Is the project linked to wider development objectives such as tourism development or local production?
    - Does the project support the prevention of natural risks (such as fire, droughts, or floods)?
    - Has this project developed a strategy to disseminate results or best practices?

- Have the following issues been considered for projects related to technical assistance?
  - Does the project benefit social, economic, and environmental stakeholders to the same degree?
  - Will this measure directly benefit the horizontal integration of environmental issues?
  - Will this measure support the non-governmental stakeholders in the implementation process?
  - Will this measure lead to better consultation processes for projects?
  - Does this measure invest in organizational support and information tools in environmental fields (such as energy efficiency, renewable energy, or nature protection)?
  - Does this measure develop lessons learned for a wider audience?
  - Does this measure invest in sustainability research in evaluation?
  - Does this measure support intersectoral cooperation during policy implementation?
  
- Has an environmental assessment been considered and included in the project design, if required? Environmental assessments include the analysis and reporting of environmental risks and opportunities. In situations where there are no national legal frameworks on environmental assessments in place, a strategic environmental assessment for programmes or an environmental impact assessment should be considered.<sup>3</sup> Listed below are four groups of questions<sup>4</sup> that can help you to determine if an environmental impact assessment is required.

<sup>3</sup> For an additional comparison of strategic environmental assessment and environmental impact assessment approaches, see the Organization for Economic Cooperation and Development, *Applying Strategic Environmental Assessment: Good Practice Guidance for Development Cooperation* (2006), p. 32.

<sup>4</sup> Adapted from the United Nations Development Group, *Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF: A Guidance Note for United Nations Country Teams and Implementing Partners Teams* (2009).

- Biodiversity conservation and sustainable natural resources management:
  - ♦ Will the proposed project result in the conversion or degradation of modified natural habitat or critical habitat?
  - ♦ Are any development activities proposed within a legally protected area for the protection or conservation of biodiversity?
  - ♦ Are any development activities proposed in areas of critical habitat?
  - ♦ Will the proposed project pose the risk of introducing invasive alien species?
  - ♦ Will the proposed project adversely impact the ability of people and communities, including indigenous peoples, to use, develop, and protect natural resources and other natural capital assets?
  - ♦ Will the life-supporting capacities of air, water, and soil ecosystems be adversely impacted?
  - ♦ Does the project involve natural forest harvesting or plantation development without an independent forest certification system for sustainable forest management?
  - ♦ Does the project involve the production and harvesting of fish populations or other aquatic species without an internationally accepted system of independent certification to ensure sustainability?
  
- Climate change risk management:
  - ♦ Will the proposed project result in carbon dioxide emissions greater than 100,000 tons per year (from both direct and indirect sources)?
  - ♦ Is the viability or longer-term sustainability of the proposed project potentially threatened by climate change?
  - ♦ Will the proposed project likely increase environmental and societal vulnerability to climate change in the long term?

- Pollution prevention and abatement:
  - ♦ Will the proposed project result in the release of pollutants due to routine, non-routine, or accidental circumstances with the potential for adverse local, regional, or transboundary impacts?
  - ♦ Will the proposed project result in the generation of solid waste that cannot be recovered, reused, or disposed of in an environmentally sound manner?
  - ♦ Will the proposed project involve the manufacture, trade, or use of chemicals and hazardous materials subject to international bans or phase-outs?
  - ♦ Is there a potential for the release of hazardous materials resulting from their production, transportation, handling, storage, or use for project activities?
  - ♦ Will the proposed project involve pest management activities, including the application of pesticides?
  - ♦ Will there be a risk of accidents during the construction or operation of the project that could affect human health or the environment?
  - ♦ Will the proposed project pose adverse impacts to ambient environmental conditions?
  
- Other potential adverse impacts:
  - ♦ Will the construction, operation, or decommissioning of the proposed project involve actions that would cause physical changes in the locality, such as topography, land use, or water bodies?
  - ♦ Will the proposed project utilize a previously undeveloped area where there will be the loss of green-field land?
  - ♦ Will the proposed project adversely alter existing land uses (such as homes, gardens, other private property, industry, commerce, recreation, public open space, community facilities, agriculture, forestry, or tourism)?
  - ♦ Will the proposed project location be subject to future land use plans that could be affected by or affect the environmental sustainability of the project?
  - ♦ Will the proposed project lead to a significant population density increase that could affect the environmental sustainability of the project?

- ♦ Will the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding, or extreme climatic conditions?
  - ♦ Will the proposed project pose indirect, secondary, or consequential development that could lead to environmental effects or the potential for cumulative impacts with other existing or planned activities in the area?
- Has a social impact assessment – the process of analysing, monitoring, and managing the social consequences of policies, programmes, and projects – been considered and included in the project design, as appropriate? In project-level assessment, typical applications include a consideration of the likely impacts of new industrial activities, construction, land use, or resource management practices.<sup>5</sup>
  - In camp management situations, has the environmental checklist for camp management agencies been used? The checklist is available in the Camp Management Toolkit.<sup>6</sup>

## During Project Implementation

- Are green procurement principles being employed to the extent possible? Green procurement principles can include the following considerations:<sup>7</sup>
  - The use of goods that (a) are manufactured using renewable products or that are manufactured using non-renewable products in a sustainable manner, (b) are energy efficient, (c) are durable, (d) are recyclable or can be safely discarded after use, and (e) do not result in the emissions of unacceptable harmful substances in their manufacture, use, or disposal.

<sup>5</sup> John Twigg, *Tools for Mainstreaming Disaster Risk Reduction: Social Impact Assessment, Guidance Note 11* (Geneva, ProVention Consortium Secretariat, International Red Cross and Red Crescent Societies, 2007). See [www.proventionconsortium.org/themes/default/pdfs/tools\\_for\\_mainstreaming\\_GN11.pdf](http://www.proventionconsortium.org/themes/default/pdfs/tools_for_mainstreaming_GN11.pdf)

<sup>6</sup> Norwegian Refugee Council, *Camp Management Toolkit* (2008). See [www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/clusters%20pages/CCm/CampMgmtToolKit.pdf](http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/clusters%20pages/CCm/CampMgmtToolKit.pdf)

<sup>7</sup> Swedish International Development Cooperation Agency, *Sida's Policy for Green Procurement: For Cooperating Partners* (2002).

- The use of life cycle assessments of products considered for purchase. These assessments help to determine the environmental impacts of a product's production, distribution, use, and disposal.
- Have project staff been sensitized on the potential environmental impacts of the project they are implementing, and on the development of attitudes that respect the environment? The following list of attitudes and actions may help in reducing the environmental cost of human acts:
  - avoid littering;
  - consume energy with efficiency and moderation;
  - avoid using cars, lifts, air conditioning, and lights when not absolutely necessary;
  - switch off any electrical device or fuel-powered engine when not in use;
  - save water whenever you can;
  - avoid using products with carbon dioxides;
  - save resources and look for green alternatives as much as you can;
  - avoid using plastic bags when shopping;
  - care for the area directly around you, as well as the area that surrounds your immediate environment;
  - where feasible, recycle your litter;
  - buy bio products and use biodegradable waste where available.

### During Monitoring and Evaluation

- Have specific indicators been used to monitor the project's environmental impacts and to promote environmental sustainability?
- Are there mechanisms and processes to ensure the active participation of those affected by the environmental aspects of the project, such as communities and stakeholders, in the monitoring and evaluation systems?

## Annex 1.7 Guiding Questions for Incorporating Sustainability into the Project Cycle

### Why is Sustainability Relevant?

While budget and time constraints play an important role during project development, a main challenge in many IOM projects is to ensure the sustainability of the processes and results they generate. This is not to be confused with keeping IOM projects “alive” or on-going. While in some cases to maintain a certain project or office structure is the only way to ensure the sustainability of the project’s processes and/or results, this should not become an objective itself. Sustainability must be thought at a broader level, having always in mind the interests of the different stakeholders of the project, and can be analyzed during project development, but also during project implementation and evaluation.

### During Project Proposal and Design

- Does the project avoid one-off or fragmented interventions?
- Does the project contribute to national and international policy agendas?
- Have all relevant stakeholders participated in the development of the project?
- Are plans for the participation of all relevant stakeholders in the implementation of the project included in the proposal?
- Has the community where the project will be implemented been consulted and have methods for their participation in its implementation and follow up been specified?
- Has the project proposal adopted a “do not harm” approach, whereby actors in development assistance and humanitarian aid attempt to prevent unintended negative impacts resulting from interventions?

- Will the project create or utilize existing institutional structures to ensure that the activities, outcomes and outputs of the project are embedded?
- Have exit strategies and handover processes been foreseen in the project proposal?

### During Project Implementation

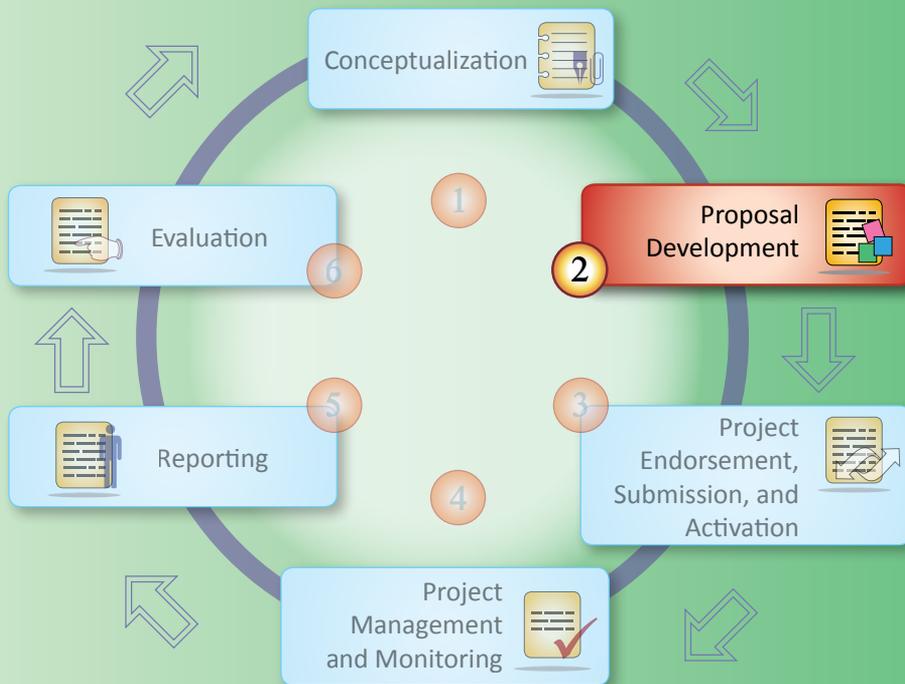
- Are project activities being conducted in coordination with, jointly, or directly by stakeholders and beneficiaries?
- Are specific management processes designed to encourage inclusivity and participation being used?
- Are project processes led or co-led by government and/or other national or community partners to ensure that all activities and processes are aimed at supporting national efforts?
- Is a capacity building and skills transfer approach being utilized in the conduct of all project activities? For example, are stakeholders and beneficiaries being taught the practical and administrative tasks necessary to operate the project and services after the project end date?
- Do project activities support institutional capacity building, not only individual capacity building, so that the success and sustainability of the project is not highly affected by staff turnover with government and other national organizations?
- Do all project activities comply with local regulations?
- Are measures to guarantee the safety of staff and beneficiaries involved in the implementation of the project being taken?

## During Monitoring and Evaluation

- Are risks to the project being adequately monitored and managed?
- Are potential social, economic, and environmental impacts of the project being monitored and necessary changes to project implementation to mitigate these impacts made?
  - Are there financial and economic mechanisms in place to ensure the ongoing flow of benefits once the project ends?
  - Are policy and regulatory frameworks in place that will support continuation of benefits?

# Module 2

## PROPOSAL DEVELOPMENT



## Questions Answered in Module Two

- How do you refine the project concept discussed in Module One into a concise project document?
- How do you complete the IOM Results Matrix?
- How do you budget for IOM projects?
- What are the exceptions to the mandatory use of the IOM proposal template?

## INTRODUCTION TO MODULE TWO

Read this Module if you are a project developer and have completed the conceptualization process described in Module One and wish to transform the project idea into the IOM proposal template.<sup>1</sup>

After you have formatted the proposal according to the IOM standard, it will be ready for institutional review and, ideally, endorsement. A project proposal (or concept note) must be, at least, “approved for submission” before it is shared with a potential donor, while “endorsement” is required before a project code can be obtained and implementation can begin. You can find the minimum standards that the project proposal has to meet in Module Three.

Although this Module elaborates on the process and content required for the IOM proposal template, you will find that much of the information provided is relevant to the completion of non-IOM proposal templates as well.



### Information

Module Two describes how the information that was gathered and analysed in Module One is refined and organized into the IOM proposal template to complete the process of project development. Once you have completed it, you will send the IOM proposal template for review and endorsement, as described in Module Three.

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<sup>1</sup> You may also wish to read this Module if you have prepared a project proposal in a non-IOM template and need to transpose it into the IOM proposal template.

## I. HOW TO COMPLETE THE IOM PROPOSAL TEMPLATE

The IOM proposal template is a standardized project document format that has been designed specifically for IOM. It is intended (a) to be the primary tool for conveying an IOM project idea and implementation plan to external parties, including host governments, project partners, and donors, (b) to guide the Project Manager through the implementation and monitoring of the project, and (c) to serve as an instrument to facilitate the Organization's institutional need to collect and analyse project data.

In general, a proposal that has been completed in the IOM proposal template should be approximately six pages in length, although there are no institutional restrictions on the length of the Results Matrix, Workplan or Budget sections.

All IOM project proposals, regardless of the template according to which they are formatted, must be written in one of IOM's official languages (English, French, or Spanish). The same language must be used consistently throughout all project documentation.

Please see the IOM proposal template attached as Annex 2.1.

This module provides a step-by-step explanation of how to complete the IOM proposal template, and so it is organized according to the order in which each part appears in the template. In practice, however, it may be easier to complete the IOM proposal template in the following sequence:

- (i) Results Matrix
- (ii) Workplan
- (iii) Budget
- (iv) Rationale
- (v) Partnerships and Coordination
- (vi) Evaluation
- (vii) Summary
- (viii) Project Data.



### Resource

Contact the Regional Project Development Officer if you require assistance in completing the IOM proposal template.

## I.1 Step One: Project Title

The project title must indicate the geographical location of the project.<sup>2</sup> This can be the country, countries, region, or regions in which the proposed project will be implemented. In the case of a global project, indicate “global”. The project title should be in keeping with IOM’s mandate when describing the main activity or activities that are being proposed. Where possible, it should specify the primary beneficiaries of the project.



### Examples

#### Project Titles

- Facilitating the rehabilitation of victims of trafficking: India
- Providing assisted voluntary return and reintegration support to stranded Congolese migrants: Uganda
- Building the capacities of governments to manage migration: Andean Region
- Facilitating circular labour migration for the benefit of all: Vietnam
- Assistance Fund for stranded migrants: Global

<sup>2</sup> A project title should not exceed 100 characters as this is in line with ACO’s reporting requirements.

## I.2 Step Two: Project Data

In this section, the following main project data must be provided:



### Examples

#### Project Data

Project type:	International Migration Law (IM)
Secondary project type(s):	Counter-trafficking (CT)
Geographical coverage:	Country X
Executing agency:	IOM
Direct Beneficiary:	All migrants in Country X, with a particular emphasis on women and unaccompanied children
Partner(s):	Ministry of Justice, Ministry of the Interior, migrant community leaders, labour unions, and United Nations agencies
Management site:	IOM office in Country X
Duration:	24 months
Estimated budget:	USD 600,000

For *project type*, indicate the main IOM activity area that is covered by the proposal (for example, international migration law, or counter-trafficking).<sup>3</sup>

The project type is also important for helping you to establish who will be responsible for review and endorsement. If there are two or more types of IOM activities within a project (such as counter-trafficking and migration health), the main project type will be determined by which project type has the greatest percentage of the operational budget (see Module Three for more information). You can request the budget templates from your resource management officer or you can download them from the IOM Intranet.

<sup>3</sup> The list of PRISM project types can be found on the IOM Intranet (<http://mn-Ifnetapps.as.iom.net:7010/filenetaccess/viewDocument.do?controlNo=BI/PRISM/FI/00015>).

In cases where a proposal covers several of IOM's activity areas, the project type is generally the activity area for which the largest proportion of operational budget resources is allocated. Other activity areas covered by the project proposal are to be added in the space provided for *Secondary project type*, if applicable.

### I.3 Step Three: Project Summary

The summary is to provide a brief overview of the proposed project, encompassing the following elements:

- an indication of the context and the need
- the objective of the project
- how the main activities will achieve the key outputs
- how the outputs are likely to result in the outcomes.

Consider the following example:



#### Examples

##### **Project Summary**

Although Country X needs workers at all skill levels, a sudden influx of migrants has increased tensions with local residents, many of whom carry out xenophobic attacks in cities and towns across the country. Criminal charges against the perpetrators of these crimes are rarely laid, and no migrant has received reparations for the harm or damages suffered. Local officials express uncertainty about the extent to which national law protects the rights of migrants, particularly those with irregular status, and often say that migrants rarely approach law enforcement officials with complaints. Therefore, this project will contribute to ensuring access to justice for all migrants in Country X, and particularly women and unaccompanied children.

In pursuit of this objective, IOM will initiate two parallel processes. The first will bring together the ministries of

justice and interior, migrant community leaders, labour unions, and United Nations agencies to agree on a Bill of Rights for All Migrants. The document will confirm the basic rights of migrants in international and national law, and describe clear communication channels to facilitate interaction between the parties. This process will also engage the National Law Reform Commission in a series of workshops on international migration law, and the application of human rights standards in the national context. This first process aims to strengthen the national legal and regulatory framework to facilitate the protection of migrants.

The second process will begin with a consultation involving IOM and migrant community leaders to plan a series of training of trainers workshops. The workshops will provide an overview of the rights and responsibilities of all migrants in Country X, and provide insight on the most effective means of asserting their rights. The workshops will also address integration strategies for migrants in Country X and approaches to conflict resolution. A consultant will be engaged to compile a booklet entitled “Understanding your rights and responsibilities as a migrant,” which will be distributed in the relevant languages in migrant community centres throughout the country. This second process aims to raise the level of confidence among migrants to assert their rights in a legal manner.

In this example, the first paragraph outlines the context for the proposed project and concludes with the project’s objective: “This project will contribute to ensuring access to justice for all migrants in Country X, particularly women and unaccompanied children”.

The second and third paragraphs describe the activities and outputs of the project, with each paragraph concluding with the anticipated outcome:

- “The first process aims to strengthen the national legal and regulatory framework to facilitate the protection of all migrants”;
- “This second process aims to raise the level of confidence among migrants to assert their rights in a legal manner.”

Due to the narrative character of this section, the wording used to describe the objective and outcomes in the summary section does not need to be identical to the wording used in the Results Matrix described in step five of this Module, but it should be consistent and easily comparable.



#### Information

The project summary section of the IOM proposal template has a maximum word count of 350 words.

## I.4 Step Four: Project Rationale

- What is the problem and why is it significant?
- Why is the approach being proposed the right one?
- Who are the key stakeholders?
- How is the project linked to broader national, regional, and/or global initiatives?

Answers to these questions come from the analysis done during the project conceptualization phase (Module One).

### I.4.a What is the Problem and Why is it Significant?

Based on the conclusions of the factor, stakeholder, problem, and results analyses discussed in Module One, the rationale should begin with a problem statement which should provide brief answers to the following questions:

- What is the situation to be addressed?
- Why is the situation a problem?
- Where, specifically, is the problem?
- For whom is it a problem?



#### Information

The problem statement will rely on the Problem Tree described in Module One. It should be supported by evidence that is derived from a range of sources, including

past programme evaluations, research studies, literature reviews, field assessments, national policies and action plans, international treaties, recommendations of the United Nations Special Rapporteurs on relevant topics. Given the limited space available in the IOM proposal template, only evidence that is directly relevant to the problem to be addressed should be presented.

#### **1.4.b Why is the Approach being Proposed the Right One?**

Explain how solving the problem(s) would be of value to the intended beneficiaries, and why the approach being proposed to address the problem(s) should be preferred.

In preparing this justification, provide a description of the project strategy that includes:

- a brief overview of the project's main activity areas,
- an explanation of how these activities will contribute collectively to a resolution of the problem(s), and
- a defense of the proposed project strategy as theoretically preferable to other approaches.

The results and strategy analyses described in Module 1 will provide a useful basis for elaborating the explanation.

#### **1.4.c Who are the Key Stakeholders?**

Justify the choice of the key stakeholders who will be involved in project implementation, and why IOM's involvement is necessary to resolve the problem(s).

Describe IOM's special skills or knowledge that make it a competent actor in this area at the:

- international level (for example, if the proposed project is to provide displaced persons with humanitarian assistance, describe IOM's role as cluster lead for Camp Coordination and Camp Management);
- regional level (for example, participation and leadership in regional consultative processes, such as the Bali Process or Puebla Process);

- national level, including a brief synopsis of previous projects, successes, and lessons learned.

Next, describe IOM's capacity to implement the project. Capacities can include factors such as an established presence in the target area(s), strategic positioning and relationships, human resources, the availability of specific and relevant expertise.

Finally, identify the other stakeholders that would need to be involved in the implementation of project activities, indicate the role(s) they would play, and explain why they are required for the project to succeed.

The stakeholder analysis described in Module 1 will provide a useful basis for elaborating this justification.

#### **I.4.d How is the Project Linked to Broader National, Regional, and/or Global Initiatives?**

In general, it is important that IOM projects support broader, long-term strategies or plans of action, such as the relevant IOM regional strategy, as well as national, regional, and/or global strategies that have been set by State authorities or intergovernmental bodies. Linking the project to these broader initiatives lends it the credibility of being consistent with the priorities of the Organization, governments, or the international community, and can help to make a strong argument for the sustainability of the project.

While the relevant IOM regional strategy will be the primary point of departure in most cases, you should also consider the following:

- official statements of government policy, such as national legislation or plans of action, or written letters of request from host governments (note that such letters are required to secure IOM Development Fund);
- policy statements and recommendations of regional communities, processes, or strategies, such as the Economic Community of West African States (ECOWAS), the Bali Process or Puebla Process, or the Abu Dhabi Dialogue;

- international partner processes, such as the Inter-Agency Standing Committee (IASC), the United Nations Development Assistance Framework (UNDAF), the One United Nations Initiative, or the Millennium Development Goals (MDG);
- international or regional legal instruments or standards, such as: the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families; the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children; the American Convention on Human Rights (Pact of San José); the European Convention on Human Rights; or the African Charter on Human and Peoples' Rights.

In making these linkages in the rationale section of the IOM proposal template, it is important to make clear exactly how the project is connected to the broader initiative and to avoid statements that suggest the linkage is self-evident. For example, the simple assertion “this project is linked to the government’s national plan of action” has little value if it is not accompanied by an explanation of how exactly it is linked to the plan of action.



#### Information

The rationale section of the IOM proposal template has a maximum word count of 600 words.

## 1.5 Step Five: Partnerships and Coordination

The partnerships and coordination section of the IOM proposal template describes the role and/or the key inputs of each of the main partners who will be involved in the implementation of the project.



## Examples

### Key partners and their roles

*The Ministry of Justice will be responsible for:*

- nominating an appropriate senior official to serve as IOM's main focal point on issues relating to the daily implementation of the project;
- identifying (a) government officials to participate in a stakeholders workshop on the rights and responsibilities of migrants, and (b) officials of the National Law Reform Commission to participate in a workshop on international best practices in the protection of migrants.

The Legal Resources Centre will be responsible for:

- producing a Bill of Rights for All Migrants;
- drafting the booklet "Understanding your rights and responsibilities as a migrant";
- providing one legal expert to facilitate a workshop for National Law Reform Commission officials, and a training of trainers workshop for migrant community leaders.

The Ethiopian Community Association, the Filipino Union, and the Latin American Students Association will be responsible for:

- reviewing all draft materials to be distributed in the migrant communities, and providing comments and suggestions;
- identifying the migrant community leaders who will participate in the training of trainers workshops;
- encouraging the continued training of migrant community members after the conclusion of the project.

In addition, the partnership and coordination section of the IOM proposal template should briefly describe how the different partners will coordinate their activities.



### Examples

#### How a project is coordinated

The project will be managed by IOM, which will establish an advisory committee composed of one representative from each of the main project partners. IOM will convene a bi-monthly meeting to share information relevant to the project, overcome challenges of implementation as they arise, and identify new opportunities that may contribute to the achievement of the project's objective. IOM will be responsible for compiling the minutes of each meeting and ensuring that each member of the advisory committee receives a copy and has the opportunity to comment on them.



### Information

The partnerships and coordination section of the IOM proposal template has a maximum word count of 350 words.

## 1.6 Step Six: Evaluation

In this section, provide the following information:

- **Objective(s)**  
Describe the aims of the evaluation. Programmes and projects are most often evaluated according to criteria of relevance, effectiveness, efficiency, impact, and/or sustainability.
- **Use**  
How will the evaluation be used? Indicate whether the evaluation intends to improve the performance of the project, or to extract lessons about the extent to which the project achieved its stated outcome(s) and contributed to the achievement of the objective.

- **Timing**  
Describe at which point in the project cycle the evaluation will be conducted.
- **Expected methodology**  
Describe the methodology you expect to employ in conducting the evaluation. Standard options include on-site observation, in-depth interviews, focus group discussions, and surveys.
- **Who is to conduct the evaluation**  
Indicate whether the evaluation will be internal or external. An internal evaluation is one that is conducted by IOM, a project partner, or the donor. An external evaluation is one that is conducted by a party that is not connected to the project.
- **Evaluation resources**  
Briefly describe the resources required for the evaluation.



#### Tips

Consider a summative evaluation if the proposal relates to a pilot initiative in a new area for IOM, a project's second phase, or if the proposal includes a budget larger than USD 500,000.



#### Information

When developing this section, refer to Module Six and to MA/66: IOM Evaluation Guidelines.

The evaluation section is a mandatory part of the IOM proposal template and must be completed.

Remember to include the cost of the evaluation in the budget. The proposal may omit a budget line for evaluation if the expected donor has indicated that it will not fund an evaluation before receiving the proposal.

In cases in which a likely or potential project donor has indicated that they are unwilling or unable to fund an evaluation, a description of the preferred evaluation approach is still to be included with the indication that the expected project donor has declined to provide the necessary resources.

If you do not foresee an evaluation, you must justify this decision in this section. A decision not to conduct an evaluation is one which could have negative consequences for the Organization as it limits the ability of IOM to learn lessons from its implementation, to extract good practices, and to gauge the replicability of good practices in different contexts.



#### Tips

In countries or regions where a particular donor routinely declines to fund evaluations of IOM projects, the relevant Regional Office or the Donor Relations Division at Headquarters will raise the issue with the donor.



### Information

The evaluation section of the IOM proposal template has a maximum word count of 350 words.

## 1.7 Step Seven: Results Matrix

Structured as a 4 X 4 table, the Results Matrix is a planning tool that will help you to transform a vague or incomplete project idea into a logically structured format that is widely understood by stakeholders. The key feature of the Results Matrix is that it is results-driven, rather than activity-driven. This means that your point of departure is the situation you wish to achieve (that is, the result), and not the tasks you wish to perform (that is, activities).



### Definition

A **result** is a measurable change that is the consequence of a means-ends relationship.

The Results Matrix is generally considered to be the clearest representation of the project idea. Therefore, it is often useful to complete the Results Matrix first before completing the other parts of the IOM proposal template.



### Information

The Results Matrix is variously referred to as the logical framework (“logframe”) or the results framework. IOM uses the terms objective, outcomes, outputs, and activities to describe the vertical logic. This is a change from the terminology IOM used previously (overall objective, purposes, results, and activities). Other organizations, agencies, or donors may use different terminology sets for what is essentially a similar process of logical construction. The United Nations Development Assistance Framework, for example, uses impact, outcome, outputs, and activities, as does the United Nations Development Programme. The European Union refers to overall objective, specific objective, results, and activities.

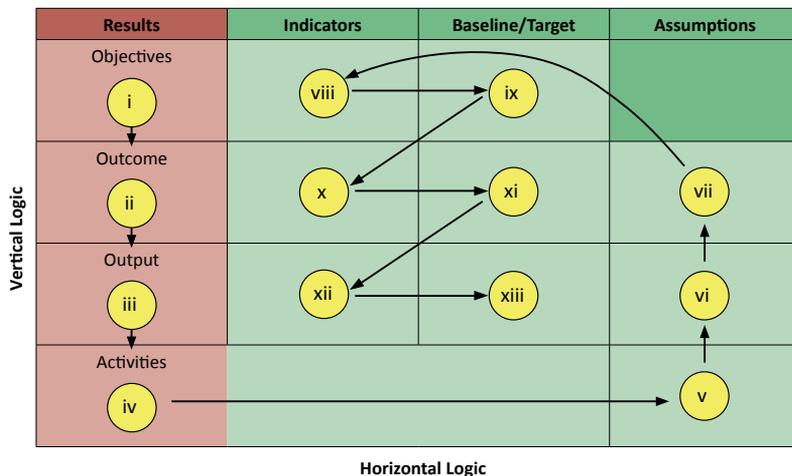


### Tool 2.1 Results Matrix

	Indicators	Baseline/Target	Assumptions
<p><b>Objective</b> The most significant, realistic goal to which the project can contribute.</p>	Qualitative or quantitative factors or variables to measure achievement or to reflect expected changes.	<p>Baseline measurement establishes the value of the indicator at the beginning of the project planning period.</p> <p>Target describes the expected value of the indicator upon completion of the result.</p>	
<p><b>Outcomes</b> The intended changes in institutional performance, individual or group behaviour or attitudes, or the political, economic, or social position of the beneficiaries.</p>	Qualitative or quantitative factors or variables to measure achievement or to reflect expected changes.	<p>Baseline measurement establishes the value of the indicator at the beginning of the project planning period.</p> <p>Target describes the expected value of the indicator upon completion of the result.</p>	Assumptions necessary for the outcomes to contribute to the achievement of the objective.
<p><b>Outputs</b> The intended changes in the skills or abilities of the beneficiaries, or the availability of new products or services as a result of project activities.</p>	Qualitative or quantitative factors or variables to measure achievement or to reflect expected changes.	<p>Baseline measurement establishes the value of the indicator at the beginning of the project planning period.</p> <p>Target describes the expected value of the indicator upon completion of the result.</p>	Assumptions necessary for the outputs to deliver the outcomes.
<p><b>Activities</b> The coordination, technical assistance, training, production, delivery, transportation, and other tasks that are organized and executed under the project.</p>			Assumptions necessary for the activities to deliver the outputs.

To benefit from the logic inherent to the tool, complete the Results Matrix table in the manner described below. Refer to the statements formulated during the Results Tree exercise as described in Module One:

**Figure 2.1: Results Matrix**



Adapted from *Aid Delivery Methods, Volume 1 Project Cycle Management Guidelines, 2004*.  
[http://ec.europa.eu/europeaid/multimedia/publications/documents/tools/europeaid\\_adm\\_pcm\\_guidelines\\_2004\\_en.pdf](http://ec.europa.eu/europeaid/multimedia/publications/documents/tools/europeaid_adm_pcm_guidelines_2004_en.pdf)



### Definition

**Vertical logic** refers to the means-ends relationships between activities and outputs, outputs and outcomes, and outcomes and objective.

- (i) Begin by refining the objective in the top left corner into a single statement.
- (ii) Once satisfied with the objective statement, descend vertically along the left-hand side of the Results Matrix and refine the chosen outcome.
- (iii) After the outcomes, formulate the outputs, and
- (iv) the activities.

Steps (i) through (iv) complete what is known as the *vertical logic*.



### Information

Please see Module One for a discussion of the visioning process. In some cases, you may prefer to start building the project logic by selecting the most feasible outcome(s) from the Results Tree (see Module One) before refining the objective to which the project could best contribute. If the outcomes are identified first, you would then define the objective as the second step.

Unlike the objective, outcomes, and outputs, the activities do not describe desired changes, and so they are not considered to be results.

- (v) After finalizing the activities statements, move horizontally across the Results Matrix to the bottom right-hand corner in the assumptions column. In this cell, list as assumptions the positive conditions that are necessary for the activities to result in the outputs.
- (vi) Once this has been done, move up to complete the assumptions at the outputs level,
- (vii) and then do the same at the outcome level. No assumptions are necessary at the level of the objective.
- (viii) Once both the results column and the assumptions column have been completed, define the indicators at the objective level,
- (ix) as well as the baseline measurements and targets.
- (x) Descending vertically, add indicators and
- (xi) baseline measurements and targets at the outcome level.
- (xii) Do the same at the output level, inserting indicators,
- (xiii) baseline measurements, and targets to complete the Results Matrix.



### Definition

**Horizontal logic** defines how each of the levels in the vertical logic will be measured and the assumptions that are required for the means-ends relationships to hold true.

Steps (v) through (xiii) complete what is known as the horizontal logic. Once these last two cells have been completed, you should have a clear logical strategy for the implementation of the proposed project.

Keep in mind that the relevant cross-cutting issues should be reflected in the Results Matrix. For example, if the project document states that a human rights-based approach will be used in the project, the Results Matrix should identify duty-bearers and rights-holders. Refer to Module One for more information on cross-cutting issues.

### 1.7.a. Objective



#### Definition

The **objective** is the most significant, realistic goal to which the project can contribute.

The objective will be shared by a large number of diverse stakeholders and, ideally, serve as a catalyst to help them to focus their work towards a common end. As the project's highest ambition, the objective is recognized as being beyond the direct control of the project.

In general, an objective addresses the political, economic, or social conditions of the society as a whole, usually at the national or international level. Objective statements are formulated to indicate changes in these conditions over the long term, such as improvements in public health or welfare, or reductions in levels of vulnerability.

The key challenge of formulating an appropriate objective statement is to set it at the right level. Although there is considerable scope to determine at which level to set the objective, be conscious of the fact that an objective that is set too high is useless by virtue of being either unattainable in the foreseeable future or broadly applicable to almost any project. An objective that is set too low is equally unhelpful if it is merely an approximation or amalgamation of one or several outcomes, outputs, or activities.



### Examples

#### **Objective Example 1:**

This project aims to stop the exploitation of migrants.

Although Example 1 is a worthy objective, it is set at such a high level as to be virtually unattainable, regardless of the number of stakeholders, programmes, and projects that are committed to its achievement.

To determine the right level, it helps to think about the objective as being attainable, but only in the long term and with the involvement of a large number of diverse stakeholders. As such, it should be evident from the statement that the project itself would have, at best, only a limited influence on the realization of the objective. A result that could be attained in the short to medium term, or by IOM and its immediate project partners only, is not an objective.



### Examples

#### **Objective Example 2:**

The project aims to train national law enforcement authorities in the identification of victims of trafficking.

Example 2 is set too low. Training is an activity that is done to achieve a result; it should never be the desired result of a project. The statement also suggests that the objective is set too low because the training is likely to be completed by the project alone, or by a single stakeholder.



## Examples

### Objective Example 3:

The project will contribute to improving access to justice for all migrants in Country X, and particularly migrant women and unaccompanied children.

This statement would succeed as an objective because first, an improvement in migrants' access to justice is likely to be attainable in the foreseeable future, and second, such an improvement is likely to require the involvement of many diverse stakeholders working together over a long period of time.

When formulating an objective, write it as a complete sentence in the future tense (for example, "this project will..."). It is also common practice to add "contribute to" in recognition of the fact that the project alone will not be sufficient to fully achieve its highest level result.

## 1.7.b Outcomes



### Definition

The **outcome** is the intended change in institutional performance, individual or group behaviour or attitudes, or the political, economic, or social position of the beneficiaries.

The project does not have full control over the outcomes and cannot guarantee their achievement. Therefore, outcomes are generally achieved by the target institution or group with the help of the project, rather than by the project directly. The outcomes should lie within the sphere of the project's influence and should be reasonably expected to occur in the medium term. Be aware that evaluations often focus on the extent to which the outcomes have been achieved.



### Resource

Refer to Module Six for more information on evaluations.

Given that the objective's level of ambition will determine the level at which the outcomes are set, it will often be easier to formulate a project's outcomes once the objective statement has been finalized.

Formulate outcome statements to represent a completed result.



### Examples

#### **Outcome Example 1:**

All Ethiopian migrants travel safely on the basis of sufficient information.

To determine whether the statement in the example is an outcome, consider first whether it describes a change in institutional performance, individual or group behaviour or attitudes, or the political, economic, or social position of the beneficiaries. Given that it appears to describe a change in the behaviour of the direct beneficiaries (that is, "all Ethiopian migrants travel safely"), the statement meets this condition. Second, ask whether it describes a change that the project is more likely to influence, rather than a change it can control. In this case, the high level of ambition ('that all Ethiopian migrants travel safely') suggests that this is well beyond the control of the project but that it may be something that the project could influence. Third, consider whether the anticipated change will occur in the medium term, after the project activities have been implemented. Here the statement appears to fall short. Given the complexity of the migration environment in the Horn of Africa, it is highly unlikely that all Ethiopian migrants will be travelling safely on the basis of sufficient information in the medium term. Instead, the statement demonstrates such a high level of ambition that the result is likely to be evident only after many years and, as such, may be more appropriate for a large-scale One United Nations or government programme than for a single IOM project. For this reason, the statement is unlikely to be an outcome. The final question would be whether the statement creates a logical link with the objective, but since it fails to meet the third requirement there is no need to continue with the analysis.



## Tool 2.2

### Questions to determine whether a statement is an outcome

- Does it describe a change in institutional performance, individual or group behaviour or attitudes, or the immediate political, economic, or social position of the beneficiaries?
- Does it describe a change that the project is more likely to influence, rather than control?
- Will the change occur in the medium term, some time after the project activities have been implemented (usually between three months and one year)?
- Is there a logical link between this statement and the objective?



## Examples

### Outcome Example 2:

State Border Service officials have an increased capacity to verify identification documents.

In the example, the statement is not an outcome because it does not describe a change in institutional performance, individual or group behaviour or attitudes, or the immediate political, economic, or social position of the beneficiaries, but rather a change in the skill levels of State Border Service officials. It is important to understand this difference. Just because the officials have a greater level of skill or ability does not necessarily mean that they will change their behaviour by employing this skill in the performance of their duties. While the statement's failure to meet the requirement of the first question means that this is not an outcome, it is worth noting that this statement also describes a situation that is likely to be achieved by the project alone, at the time of its conclusion. In other words, the project is likely to increase the skills level of the State Border Service officials to verify identification documents without requiring anything further from the beneficiaries after the implementation of activities has ended. By contrast, consider the statements in Table 2.1.

**Table 2.1: Outcomes in the Results Matrix**

Result	Indicators	Baseline/ Target	Assumptions
<p><b>Objective:</b> The project will contribute to improving access to justice for all migrants in Country X, and particularly women and unaccompanied children.</p>			
<p><b>Outcome 1:</b> The improved national legal and regulatory framework facilitates the protection of migrants, with special provision for migrant women and unaccompanied children.</p>			
<p><b>Outcome 2:</b> Migrants demonstrate greater willingness to assert their rights in a legal manner.</p>			

Both of the proposed outcome statements describe changes in behaviour – in outcome 1 a change in institutional performance, and in outcome 2 a change in group behaviour. Both statements also suggest results that the project would be unable to control on its own, but which it could realistically influence. Furthermore, both statements describe changes that are likely to occur in the medium term, at some time after the conclusion of the project and conceivably within a year following the conclusion of project implementation.

Both statements also meet the fourth requirement that there be a logical link to the objective. A new legal framework and a greater willingness on the part of migrants to assert their rights in a legal manner are unlikely to be the only changes required to improve access to justice for all migrants. Addressing xenophobic attitudes among police officers or the judiciary, for example, may be equally important. However, improved access to justice for all migrants (the objective) would be more likely were there to be changes in the legal and regulatory framework and a greater willingness among migrants to assert their rights in a legal manner. Outcomes, then, are considered necessary, as opposed to sufficient, prerequisites for the realization of the objective.

### 1.7.c Outputs

Most often, a single outcome statement is underpinned by several outputs.



#### Definition

An **output** is the intended change in the skills or abilities of the beneficiaries, or the availability of new products or services as a result of project activities.

Outputs are the tangible results that a project must achieve within the timeframe of the project, and with the institutional, human, and financial resources provided by the project. Consequently, they are the results over which a Project Manager exerts the highest degree of control and, as such, they represent a firm guarantee by IOM to deliver. A project that does not produce the promised outputs is generally considered a failure. The project's level of control over the result is a key feature that distinguishes outputs from outcomes.



#### Tool 2.3

##### Questions to determine whether a statement is an output

- Does it describe a change in the skills or abilities of the beneficiaries, or the availability of new products or services?
- Does it describe a change that is within the direct control of the project?
- Will the change occur within the period of project implementation?
- Is there a logical link between this statement and an outcome?



### Examples

#### **Output Example 1:**

Increased protection of the personal data of IOM beneficiaries in a manner that is consistent with IN/138: IOM Data Protection Principles.

The statement in the example is more likely to be an outcome (although an imperfect one) than an output because it describes a change in IOM's institutional performance (that is, "increased protection of the personal data of IOM beneficiaries"), rather than a change in the beneficiaries' skills or abilities, or the availability of new products or services. It is also likely that the result would be measurable only sometime after the conclusion of the project and once the increased protection of the personal data of IOM beneficiaries is evident as a consistent practice.



### Examples

#### **Output Example 2:**

Training conducted for Project Managers on IN/138: IOM Data Protection Principles.

While the second example is well within the influence of the project, this statement simply describes an activity (that is, conducting training), and fails to define the change in the beneficiaries' skills or abilities that can be reasonably expected to occur as a result of the training. However, the idea could be salvaged as an output if it were rephrased as "increased capacity of participating IOM Project Managers to apply IN/138: Data Protection Principles to their daily work". Consider the examples in Table 2.2.

**Table 2.2: Outputs in the Results Matrix**

	Indicators	Baseline/ Target	Assumptions
<p><b>Outcome 1:</b> The improved national legal and regulatory framework facilitates the protection of migrants, with special provisions for migrant women and un-accompanied children.</p>			
<p><b>Output 1.1:</b> Draft Bill of Rights for All Migrants is accessible to all government ministries and migrant community organizations.</p>			
<p><b>Output 1.2:</b> National Law Reform Commission officials have the skills and knowledge to apply international human rights standards to the migration context.</p>			
<p><b>Outcome 2:</b> Migrants demonstrate greater willingness to assert their rights in a legal manner.</p>			
<p><b>Output 2.1:</b> Copies of the booklet “Understanding your rights and responsibilities as a migrant” are accessible in relevant languages to the three largest migrant groups in the community centres they frequent.</p>			
<p><b>Output 2.2:</b> Migrant community leaders in the three largest migrant communities have the skills and knowledge to provide migrants with training on their rights and the measures that can be taken to ensure that they are upheld.</p>			

Output 1.1 describes the availability of a new product (that is, the Draft Bill of Rights for All Migrants) that is to be accessible to all government agencies and migrant community organizations within the term of the project, and with the resources provided by the project. Output 1.2 describes a change in the skill levels of the beneficiaries that can also be achieved by the end of the project with the resources available through the project. Having met these criteria, and given the probability that these results will contribute to the achievement of outcome 1, both of these statements can be considered effective outputs.

Output 2.1 describes the availability of a new product (that is, the booklet), and output 2.2 describes the new skills that have been obtained by the direct beneficiaries (that is, community leaders obtain new training skills). Given the likelihood that these results can be achieved within the timeframe of the project with the resources available through the project, and the probability that these results will contribute to the achievement of outcome 2, both of these statements can be considered effective outputs.

### 1.7.d Activities



#### Definition

**Activities** are the coordination, technical assistance, training, production, delivery, transportation, and other tasks that are organized and executed under the project.

Activities generate the tangible products and services that are described by the output statements. They are the actions required to deliver the outputs.

In formulating the activities, demonstrate the intended action by using verbs such as *build*, *engage*, *train*, *facilitate*, *distribute*, and *assist*. As a space-saving measure, the activities can be displayed as a bulleted list in a single box below the outputs, rather than in separate boxes that correspond to each individual output. Consider Table 2.3.

**Table 2.3: Activities in the Results Matrix**

	Indicators	Baseline/Target	Assumptions
<p><b>Outcome 2:</b> Migrants demonstrate greater willingness to assert their rights in a legal manner.</p>			
<p><b>Output 2.1:</b> Copies of the booklet “Understanding your rights and responsibilities as a migrant” are accessible in relevant languages to the three largest migrant groups in the community centres they frequent.</p>			
<p><b>Output 2.2:</b> Migrant community leaders in the three largest migrant communities provide migrants with training on their rights and the measures that can be taken to ensure that they are upheld.</p>			
<p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Conduct a review of national legislation and procedures related to the rights and responsibilities of migrants.</li> <li>• Design, draft, translate, and print 5,000 copies of the booklet “Understanding your rights and responsibilities as a migrant”.</li> <li>• Identify migrant community leaders and consult with them on feasibility, methodology, and content for training of trainers workshops.</li> <li>• Facilitate training of trainers workshops for migrant community leaders.</li> </ul>			

### 1.7.e Assumptions

Having structured the vertical logic of the Results Matrix by establishing the means-ends relationships between the objective, outcomes, outputs, and activities, the next step to completing the Results Matrix requires refining the horizontal logic. The construction of the horizontal logic begins in the bottom right-hand corner of the Results Matrix with the identification of the assumptions. Consider Table 2.4.

**Table 2.4: Assumptions in the Results Matrix**

	Indicators	Baseline/Target	Assumptions
Objective			
Outcomes			
Outputs			
Activities			<i>Assumptions necessary for the activities to result in the outputs.</i>



#### Definition

**Assumptions** are the necessary and positive conditions that allow for a successful means-ends relationship between the different levels of results.

Assumptions refer to external and internal factors that will have an impact on the project if they are unfulfilled, but not all of the possible events that could negatively affect project implementation can be reflected in the assumptions column of the Results Matrix.

Assumptions complete the project logic and help to place the project in the context in which it will be implemented. Identifying in advance important conditions on which the success of the project depends and which are beyond the control of IOM will help the Project Manager to guide the process towards achieving the project results.



### Definition

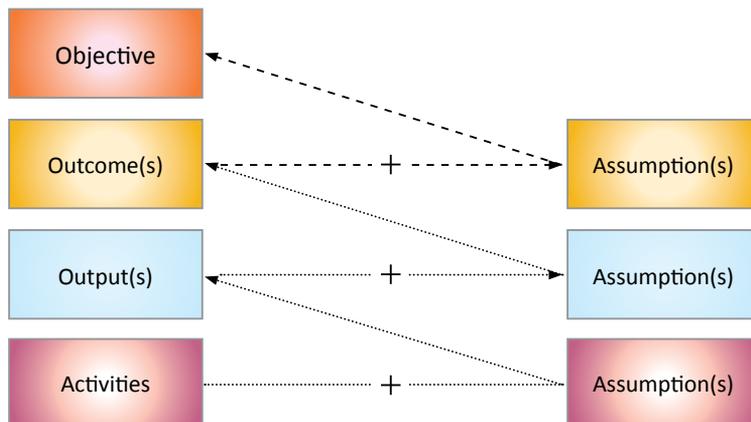
**Risks** are the opposite of assumptions. They are the conditions that would prevent a successful means-ends relationship. For more on risks and risk management, see Module Four.

During the process of identifying assumptions, new results may be identified. These should be inserted into the Results Matrix to ensure the project's logical coherence.

The most common way to build the horizontal logic is to use a simple formula:

- (i) [activity/activities] + [assumption] is likely to result in [output];
- (ii) [output(s)] + [assumption] is likely to result in [outcome];
- (iii) [outcome(s)] + [assumption] is likely to result in [objective].

**Figure 2.2: Assumptions**



Adapted from MDF Tool: Logical Framework. <http://www.toolkitsportdevelopment.org/html/resources/2A/2A049D5E-E038-4FFB-B9B9-93A34FF55F5E/08%20Logical%20Framework.pdf>

Applying formula (i) above to the previous example could lead to the conclusion that:

- *If* the project identifies migrant community leaders and consults with them on the feasibility, methodology, and content for training of trainers workshops (the activity),
- *And* it is assumed that migrant community leaders continue to cooperate with IOM and agree to participate in training of trainers workshops (the assumption),
- *Then* the project is likely to result in increased skill and knowledge levels of leaders in the three largest migrant communities enabling them to provide migrants with training on their rights and on the measures that can be taken to ensure that these rights are upheld (the output).

While assumptions are understood to describe the necessary conditions that must exist for the results at each level to be achieved, the likelihood that the assumption holds true depends upon the level of its corresponding result.

Assumptions that are necessary conditions to transform activities into outputs, for example, can be considered highly probable – that is, they can be expected to be true in most cases. This is because the project is expected to have a high level of control over the achievement of the outputs, and so you are expected to have a clear understanding of the conditions that must exist for their achievement. Assumptions at this level may also reflect operational conditions that are internal to the project.

Assumptions that are necessary conditions to transform outputs into outcomes, or outcomes into the objective, however, are recognized as being progressively less predictable because they usually require the commitment of governments or the performance of beneficiaries, which may be difficult to guarantee. As a general rule, as the influence of the project decreases so should the probability that the assumptions hold true. See, for example, the assumptions Table 2.5.

**Table 2.5: Placement of Assumptions in the Results Matrix**

	Indicators	Baseline/ Target	Assumptions
<p><b>Objective:</b> The project will contribute to ensuring access to justice for all migrants in Country X, and particularly migrant women and unaccompanied children.</p>			
<p><b>Outcome 2:</b> Migrants demonstrate greater willingness to assert their rights in a legal manner due to increased levels of awareness.</p>			<ul style="list-style-type: none"> <li>• Sustained government commitment to ensuring access to justice for all migrants.</li> <li>• Continued willingness of migrant community leaders to engage with State authorities in a constructive manner.</li> </ul>
<p><b>Output 2.1:</b> Copies of the booklet “Understanding your rights and responsibilities as a migrant” are accessible in relevant languages to the three largest migrant groups in the community centres they frequent.</p>			<ul style="list-style-type: none"> <li>• Continued interest of migrants from the three largest migrant groups, including migrant women and unaccompanied children, in frequenting the community centres.</li> <li>• Continued willingness of migrant community leaders to promote the booklet.</li> </ul>
<p><b>Output 2.2:</b> Migrant community leaders in the three largest migrant communities have the skills and knowledge to provide migrants with training on their rights and the measures that can be taken to ensure that they are upheld.</p>			<ul style="list-style-type: none"> <li>• Continued intention of the migrant community leaders who have been trained to conduct training for other members of their communities.</li> <li>• Availability of venues and basic material resources to allow migrant community leaders to conduct training in their communities.</li> <li>• Continued willingness of migrant community members, and particularly migrant women and unaccompanied children, to engage with the leaders that have been trained.</li> </ul>
<p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Conduct a review of national legislation and procedures related to the rights and responsibilities of migrants.</li> <li>• Design, draft, translate, and print 5,000 copies of the booklet “Understanding your rights and responsibilities as a migrant”.</li> <li>• Identify migrant community leaders and consult with them on feasibility, methodology, and content for training of trainers’ workshops.</li> <li>• Facilitate training of trainers workshops for migrant community leaders.</li> </ul>			<ul style="list-style-type: none"> <li>• Migrant community leaders are sufficiently motivated to encourage distribution of the booklet to the relevant community centres.</li> <li>• Migrant community leaders continue to cooperate with IOM and agree to participate in training of trainers workshops.</li> </ul>



### Tips

#### Good Practice:

#### Formulating Assumptions Correctly

When identifying your assumptions, refer back to the PESTLE analysis in Module 1.

Assumption statements are always formulated as if they are actually true, rather than in the past or conditional tenses. By convention, assumptions at one level are understood to apply to the level above it. Avoid repeating the same assumption at each level of the Results Matrix.



### Tool 2.4

#### Quick Assumptions Checklist

- Is the assumed condition outside the control of the project?
- Is the assumed condition necessary for the project's success?
- Is the assumed condition a result that could be included in the Results Matrix? If so, consider including it as a result rather than as an assumption.
- Is there a high probability that the assumption will hold true?
- Is the assumption specific and verifiable so that its status can be checked by other stakeholders?
- Is the assumption stated as if it is currently true?

Both risks and assumptions are normally analyzed in terms of their relative importance, expected impact on the project, and the likelihood of such impact. The analysis of risks and assumptions can lead to the revision of the project strategy, and may include the incorporation of risk management measures in the project document such as mitigating a certain risk or transferring it to a third party. Risk reduction strategies include the incorporation of positive and / or negative incentives to reduce the likelihood of occurrence and the impact of the related risk.

## 1.7.f Indicators

Indicators measure results.



### Definition

**Indicators** are the quantitative or qualitative factors or variables to measure achievement or to reflect expected changes.<sup>4</sup>

Indicators are important project monitoring tools that make it possible for the Project Manager to demonstrate progress when things go right, and to recognize at an early stage when

<sup>4</sup> OECD: Glossary of Key Terms in Evaluation and Results Based Management.

things are not going as planned. They can also serve a broader institutional purpose by helping IOM to compare progress between projects, learn lessons from project implementation, and extract good practices that can contribute to improved programming. Increasingly, IOM's Member States, including most of its traditional donors, are encouraging the Organization to be more consistent in monitoring its projects. As the primary tool available to address these concerns, indicators are an indispensable feature of any IOM project.

There are different types of indicators with which you should be familiar.

**Quantitative indicators** are used to answer questions that are inherently expressed in numbers, such as:

- How many?
- How often?
- How much?
- How long?

These numerical values can be represented by:

- absolute figures (for example, the number of persons trained);
- a percentage (for example – the percentage of victims of trafficking identified who receive voluntary return and reintegration assistance);
- a rate (for example, a birth rate – the number of births per 1,000 people);
- a ratio (for example, a sex ratio – the number of males per number of females).

**Qualitative indicators** are used to demonstrate, describe, or measure things that are subjective in nature, such as experiences, opinions, or perceptions. They can include changes in sensitivity, satisfaction, influence, awareness, understanding, attitudes, perception, dialogue, or sense of well-being.<sup>5</sup> For example, qualitative indicators can measure perceptions on the changes in the compliance of officials to a new policy, personal experiences and satisfaction with the quality of services being provided to stranded migrants, or opinions on the quality of a new piece of legislation and the extent to which it is in line with international standards.

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<sup>5</sup> UNDP (2009) Handbook on Planning and Monitoring and Evaluation for Development Results, p.63.

**Binary indicators** can be qualitative or quantitative and serve to verify the existence of a specified tangible product that did not exist before the project was implemented – an existence that can be confirmed by a “yes” or “no” answer. As the simplest measures of change, binary indicators are generally used at only the output level.

To complete the IOM Results Matrix, develop indicators that correspond to the proposal’s objective, outcomes, and outputs. When determining the most appropriate indicators at each of these levels, ask the same question: “What can we observe in order to know if the desired change has occurred?”

Objective-level indicators describe changes to political, economic, or social conditions at the national or international level.

**Table 2.6: Examples of Objective-level Indicators**

	<b>Indicators:</b>
<p><b>Objective:</b> Improved access to justice for all migrants in Country X, and particularly women and unaccompanied children.</p>	<ul style="list-style-type: none"> <li>• Percentage of migrants by sex/age seeking reparations through the national justice system.</li> <li>• Percentage of migrants who have sought reparations through the national justice system and are satisfied that their complaints were adjudicated fairly.</li> </ul>

Outcome-level indicators measure the progress made in achieving the specific outcomes. They are tools that help to confirm that the intended change in institutional performance, individual or group behaviour or attitudes, or the immediate political, economic, or social position of beneficiaries has occurred. See Table 2.7.

**Table 2.7: Examples of Outcome-level Indicators**

	<b>Indicators</b>
<p><b>Outcome:</b> The improved national legal and regulatory framework facilitates the protection of migrants, with special provisions for migrant women and unaccompanied children.</p>	<ul style="list-style-type: none"> <li>• Number of new laws or legislative amendments that have been passed to protect the rights of migrants, and particularly migrant women and unaccompanied children.</li> <li>• Extent to which new laws or legislative amendments meet international human rights standards.</li> </ul>

Output-level indicators measure the progress made in achieving the specified outputs. They are tools that help to confirm that the intended change in the skills or abilities of the beneficiaries, or in the availability of new products or services, has occurred. See Table 2.8.

**Table 2.8: Examples of Output-level Indicators**

	Indicators
<p><b>Output :</b> National Law Reform Commission officials have the skills and knowledge to apply international human rights standards to the migration context.</p>	<ul style="list-style-type: none"> <li>• Number of officials trained.</li> <li>• Percentage of trained officials who score 70 % or more on a post-workshop test.</li> </ul>

Remember that output-level indicators are particularly valuable to the Project Manager because they are intended to measure the desired change within the project's implementation period. This fact makes it useful to have at least two indicators for each output: one process indicator that gives an idea as to whether the product or service was completed or delivered (that is, the number of officials trained), and one results indicator to assess whether the completed output is bringing about the intended changes (that is, the percentage of trained officials who score 70 per cent or more on a post-workshop test).

Activities are not results and they therefore do not require indicators or baseline measurements.



#### Definition

**Means of verification** describe the specific sources from which the status of each of the indicators in the results matrix can be ascertained.

Keep in mind that information must be gathered for the measurement of the specified indicators. This expected source of information is called the means of verification. Means of verification can include information from documents that are already available or will be produced within the project (for example, quarterly monitoring reports), or information may need

to be specifically gathered (for example, with questionnaires). Although not a requirement of the IOM proposal template, if data collection and processing have cost implications, these must be accounted for in the budget.

### 1.7.g Baseline Data and Targets

“Baseline data” provide a foundation against which to measure change over time, while “targets” establish precisely the mark the project intends to hit.

If the targets that were set for a particular result and particular assumptions are met, then IOM can legitimately claim that the result has been achieved.

Consider the following examples.



#### Examples

**Result:**

Migrants demonstrate greater willingness to assert their rights due to increased levels of awareness

**Indicator:**

Percentage increase in the number of migrants going to court to ensure their human rights are upheld

On its own, this quantitative indicator is largely meaningless because it does not reveal how many migrants would need to go to court to achieve the result. However, if the baseline measurement had established that 20 migrants went to court to ensure their rights were upheld last year, then the fact of at least 22 migrants going to court this year could suggest a greater willingness by migrants to assert their rights this year.

However, such a marginal increase in the number of migrants going to court does not clearly demonstrate “greater willingness” on the part of migrants to assert their rights, which is why setting a target would make this indicator much stronger.

The establishment of the target is an important way of clarifying IOM's ambition for a particular result. If the target of 40 court cases is reached, this will suggest that migrants have demonstrated a greater willingness to assert their rights. However, it may not indicate that both male and female migrants are demonstrating greater willingness. The indicator could therefore be improved by also measuring increases or decreases in male and female migrants initiating court cases.



### Examples

**Result:**

Migrants demonstrate greater willingness to assert their rights due to increased levels of awareness

**Indicator:**

Percentage increase in the number of migrants going to court to ensure their human rights are upheld

**Baseline:**

20 court cases initiated

**Target:**

40 court cases initiated

To be useful, many indicators will require the baseline measurements and targets. The only indicators that never require baseline measurements or targets are binary indicators for which the mere existence of a new product or service is sufficient to establish that the desired change has occurred.



### Examples

**Output:**

The booklet "Understanding your rights and responsibilities as a migrant" is available

**Indicator:**

Yes/No



### Information

If the baseline measurement is zero, then only the target should be included when completing the IOM Results Matrix.

Indicators should be “SMART” but no single indicator is likely to satisfy all the SMART criteria equally.<sup>6</sup> It is important, however, to always pay close attention to whether an indicator is achievable and whether it is relevant. An achievable indicator is one that requires no more than a reasonable amount of time, effort, and money to gather and analyse the necessary data. A relevant indicator is one that is as directly related to the result as possible.



### Tool 2.5

#### How to Select SMART Indicators

- Specific:** Does the indicator capture the essence of the desired result?
- Measurable:** Are changes objectively verifiable? Is the indicator a reliable and clear measurement of the results?
- Achievable:** Will the indicator require no more than a reasonable amount of time, effort, and money to gather and analyse the necessary data? Are targets realistic?
- Relevant:** Is the indicator plausibly associated with the result?
- Time-bound:** Is it clear from the result statement that the result will be achieved within the time frame available for project implementation?

<sup>6</sup> Note that some donors require that the SMART criteria be applied to the results instead of, or in addition to, indicators.

Table 2.9: Example of the Completed Logic of the Results Matrix

Objective:	Indicators	Baseline/Target	Assumptions
<p>The project will contribute to improving access to justice for all migrants in Country X, and particularly migrant women and unaccompanied children.</p>	<ul style="list-style-type: none"> <li>Percentage of migrants by sex/age seeking reparations through the national justice system</li> <li>Percentage of migrants who have sought reparations through the national justice system and are satisfied that their complaints were adjudicated fairly.</li> </ul>	<ul style="list-style-type: none"> <li><b>Baseline:</b> by sex: 10% female; 25% male by age: 3% under the age of 18 years.</li> <li><b>Target:</b> by sex: 50% female; 50% male by age: 10% under the age of 18 years.</li> <li><b>Baseline:</b> 0%</li> <li><b>Target:</b> 55%</li> </ul>	<ul style="list-style-type: none"> <li>Sustained government commitment to apply the new national legal and regulatory framework to facilitate the protection of migrants.</li> </ul>
<p><b>Outcome 1:</b> The improved national legal and regulatory framework facilitates the protection of migrants, with special provisions for migrant women and unaccompanied children.</p>	<ul style="list-style-type: none"> <li>Number of new laws or legislative amendments that have been passed to protect the rights of migrants, and particularly migrant women and unaccompanied children.</li> <li>Extent to which new laws or legislative amendments meet international human rights standards.</li> </ul>	<ul style="list-style-type: none"> <li><b>Baseline:</b> No new laws or legislative amendments.</li> <li><b>Target:</b> One new law or five legislative amendments.</li> <li><b>Target:</b> At least one legislative amendment that expressly benefits migrant women and unaccompanied children.</li> <li><b>Baseline:</b> No.</li> <li><b>Target:</b> Yes.</li> </ul>	<ul style="list-style-type: none"> <li>Inter-agency working group participants advocate for the Draft Bill of Rights among their respective constituencies.</li> </ul>
<p><b>Output 1.1:</b> Draft Bill of Rights for All Migrants is accessible to all government ministries and migrant community organizations.</p>	<ul style="list-style-type: none"> <li>Existence of the Draft Bill of Rights for All Migrants.</li> <li>Draft Bill of Rights for All Migrants meets international human rights standards and 85% of migrant community leaders are satisfied with content.</li> </ul>	<ul style="list-style-type: none"> <li><b>Baseline:</b> No.</li> <li><b>Target:</b> Yes.</li> <li><b>Baseline:</b> No.</li> <li><b>Target:</b> Yes.</li> </ul>	<ul style="list-style-type: none"> <li>National Law Reform Commission officials apply their new skills and knowledge in the workplace.</li> </ul>
<p><b>Output 1.2:</b> National Law Reform Commission officials have the skills and knowledge to apply international human rights standards to the migration context.</p>	<ul style="list-style-type: none"> <li>Number of officials trained.</li> <li>Percentage of trained officials who score 70% or higher on a post-workshop test.</li> </ul>	<ul style="list-style-type: none"> <li><b>Baseline:</b> 0</li> <li><b>Target:</b> 40</li> <li><b>Baseline:</b> 0%</li> <li><b>Target:</b> 85%</li> </ul>	<ul style="list-style-type: none"> <li>Participants are sufficiently senior and reputable to ensure the credibility of the draft Bill of Rights for All Migrants among their respective constituencies.</li> <li>National Law Reform Commission officials are engaged and willing to learn.</li> </ul>
<p><b>Activities:</b></p>	<ul style="list-style-type: none"> <li>Host workshop involving officials from ministries of justice, interior, social welfare, and health, relevant United Nations agencies, local non-governmental organizations, and migrant community organizations.</li> <li>Prepare a consolidated first draft of the Bill of Rights for All Migrants, and circulate to all participants for comments.</li> <li>Host validation workshop to validate the Bill of Rights for All Migrants.</li> <li>Facilitate training workshop on migrants' rights for National Law Reform Commission officials.</li> </ul>		

Outcome 2:	Indicators	Baseline/Target	Assumptions
<p><b>Outcome 2:</b> Migrants demonstrate greater willingness to assert their rights in a legal manner.</p>	<ul style="list-style-type: none"> <li>Percentage increase in the number of legally employed migrants who are members of labour unions.</li> <li>Percentage increase in the number of migrants going to court to ensure their human rights are respected.</li> </ul>	<ul style="list-style-type: none"> <li><b>Baseline:</b> 0%</li> <li><b>Target:</b> 25%</li> <li><b>Baseline:</b> 0%</li> <li><b>Target:</b> 50%</li> </ul>	<ul style="list-style-type: none"> <li>Sustained government commitment to ensuring access to justice for all migrants.</li> <li>Continued willingness of migrant community leaders to engage with State authorities in a constructive manner.</li> </ul>
<p><b>Output 2.2:</b> Copies of the booklet “Understanding your rights and responsibilities as a migrant” are accessible in relevant languages to the three largest migrant groups in the community centres they frequent.</p>	<ul style="list-style-type: none"> <li>Number of copies of the booklet distributed.</li> <li>Percentage of migrants visiting the community centres who have a copy of the booklet.</li> <li>Percentage of migrants who demonstrate an awareness of the content of the booklet.</li> <li>Percentage of migrants visiting the community centres who feel that the booklet has been useful for their interactions with State authorities.</li> </ul>	<ul style="list-style-type: none"> <li><b>Baseline:</b> 0</li> <li><b>Target:</b> 5,000</li> <li><b>Baseline:</b> 0%</li> <li><b>Target:</b> 50%</li> <li><b>Baseline:</b> 0%</li> <li><b>Target:</b> 35%</li> <li><b>Baseline:</b> 0</li> <li><b>Target:</b> 30%</li> </ul>	<ul style="list-style-type: none"> <li>Continued interest of migrants from the three largest migrant groups, including migrant women and unaccompanied children in frequenting the community centres.</li> <li>Continued willingness of migrant community leaders to promote the booklet.</li> </ul>
<p><b>Output 2.2:</b> Migrant community leaders in the three largest migrant communities have the skills and knowledge to provide migrants with training on their rights and the measures that can be taken to ensure that they are upheld.</p>	<ul style="list-style-type: none"> <li>Number of migrant community leaders completing training of trainers workshops.</li> <li>Percentage of trained migrant community leaders who feel they are more effective when providing members of their communities with guidance.</li> <li>Percentage of trained migrant community leaders who have facilitated training workshops for community members within six months of being having themselves been trained.</li> </ul>	<ul style="list-style-type: none"> <li><b>Baseline:</b> 0</li> <li><b>Target:</b> 80</li> <li><b>Baseline:</b> 0%</li> <li><b>Target:</b> 80%</li> <li><b>Baseline:</b> 0%</li> <li><b>Target:</b> 50%</li> </ul>	<ul style="list-style-type: none"> <li>Continued intention of the migrant community leaders who have been trained to conduct training for other members of their communities.</li> <li>Availability of venues and basic material resources to allow migrant community leaders to conduct training in their communities.</li> <li>Continued willingness of migrant community members, and particularly migrant women and unaccompanied children, to engage with the leaders that have been trained.</li> </ul>
<p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>Conduct a review of national legislation and procedures related to the rights and responsibilities of migrants.</li> <li>Design, draft, translate, and print 5,000 copies of the booklet “Understanding your rights and responsibilities as a migrant.”</li> <li>Identify migrant community leaders and consult with them on feasibility, methodology, and content for training of trainers workshops.</li> <li>Facilitate training of trainers workshops for migrant community leaders.</li> </ul>			<ul style="list-style-type: none"> <li>Migrant community leaders are sufficiently motivated to encourage distribution of the booklet to the relevant community centres</li> <li>Migrant community leaders continue to cooperate with IOM and agree to participate in training of trainers workshops.</li> </ul>



### Information

The Results Matrix section of the IOM proposal template does not have a word count, or a page limit.

## 1.8 Step Eight: Workplan

In this section, describe how and when the activities in the project will be completed. The workplan may take different forms (refer to Module Four for more information on time planning) but should include, at a minimum, the following information:

- a list of the main activities to be completed;
- when the main activities will begin, how long they will last and when they will be completed;
- an indication of which partner is responsible for the implementation of each activity.

Workplans are frequently presented in tabular format.



A basic workplan will help to convey to the RTS or Headquarters-designated endorser that the sequence of events have been carefully considered. The workplan can also help the RTS or Headquarters-designated endorser to assess the distribution of activities relative to the human and financial resources available, and it can be used by IOM to compare the actual progress being made in the implementation of activities against what had been anticipated at the time the proposal was developed.



### Information

The workplan annex to the IOM proposal template does not have a word count, or a page limit.

## 1.9 Step Nine: Budget



### Definition

A **budget** is a document that outlines the financial and operational aims of an activity or project for a specified period of time, serves as a measure for planned expenditures, and facilitates the planning and monitoring of project activities over that period based on donor agreements and in line with internal policies and regulations.



### Resource

When developing the budget, refer to IB/51: IOM Overhead Policy, MA/163: BNP Budgeting for New Projects, and MA/61: Gender Sensitive Budgeting Booklet.

### 1.9.a How to Prepare a Budget

Coordinate budget preparation with the resource management staff in order to ensure:

- realistic projections and cost estimates;
- adequate staff and office costs are covered within the budget (keeping in mind the projectized nature of IOM and the needs of the entire office), including costs such as administrative services, insurance, security, and shared office costs;
- budgets are presented in a format acceptable to donors;
- the internal coordination process is complete and the endorsements of relevant organizational units are obtained;
- Microsoft Excel formulas are done correctly.

When drafting a budget, analyse the costs required to conduct the activities described in the proposal (for example, if a project includes training activities, you should assess and analyse costs for a training venue, printing, rental equipment, trainers, participants). At this stage, it may be important for you to analyse budgets from implemented projects with the same activities in order to review whether some “standard needs” are covered. In addition, consult with other IOM offices (such as sub-offices or other Country Offices) in order to gather accurate information on realistic costs for the proposed project.



#### Information

Remember to consider cross-cutting issues during budget preparation. For example, if an environmental impact assessment is to be conducted, adequate funds must be allocated in the budget.

Be ready to respond to enquiries made by donors and justify objectively the different budget lines. For example, if a specific amount has been included for an information campaign, expect that the donor may ask specific questions about the inclusion of the activity, and be prepared to provide an adequate analysis of how the calculations were made (that is, based on preliminary quotations, prices in the market, costs per units, for example).

When preparing a budget, be sure to revisit the external risks that were previously identified as being reasonably likely to occur and likely to produce a moderate to significant negative impact on the project (see Module 1). Include estimates of the most likely associated costs for monitoring and managing such risk factors. Given that it is often difficult to accurately assess what specific risk management measures will be needed and their costs, one option to consider is a contingency reserve budget line. Please note that prior consultation and agreement with the donor is mandatory for this approach and donors usually require that IOM obtain their formal approval in advance of using such contingency funds.

When drafting a budget, it is also important to consider the timeline according to which project activities are to be carried out. For example, in the first phase of a large, multi-year project, the Project Manager will usually be hiring staff and procuring equipment in order to start implementing project activities. Therefore, when allocating the budget for the first year, the staff costs will be relatively high and operational costs relatively low, whereas in the second or third year there will be more spending on operational costs.

The project budget is generally developed in US dollars (USD), unless otherwise indicated by the donor. If the budget is developed in a currency other than the USD, you should use the latest IOM monthly exchange rate, which is available on the IOM Intranet.

### ***Developing an IOM Project Budget Using the Work Breakdown Structure (WBS):***

**The IOM Project Budget Format** is used to develop a budget. Before discussing the budget with the donor, ensure that it has been reviewed by the RMO before the project is funded (See Table 2.13 and Annex 2.2). The project developer should use the PRISM project structure for the correct project type to develop the budget. This will facilitate easy transition when the RMO prepares the project structure in PRISM and generates the Budgeting for New Projects (BNP) later on in the process.



#### **Information**

The WBS templates in PRISM are a collection of templates categorized by project type that together represent a complete compendium of IOM activities. Some activities repeat in different templates (e.g. many project types may include activities such as “Information Campaign”, whereas other activities belong exclusively to certain project types). The PRISM project templates can be obtained in Microsoft Excel format from the IOM Intranet ([http://intranetportal.as.iom.net/prism/prism\\_bulletin\\_board.htm](http://intranetportal.as.iom.net/prism/prism_bulletin_board.htm)).

The Work Breakdown Structure (WBS), also known as the “Project Budget Line”, is a five-level code that uses different sections to describe different elements of the costs. The easiest way to develop a budget is to select a 5th level WBS of the corresponding project type template that matches the activity that you want to budget for. You can replace the wording from the template with your own wording. For instance 5th level WBS in Counter Trafficking PRISM project structure states CT.0001.XXXX.53.02.001: Other Regional And Interregional Coop you can change this to CT.0001.XXXX.53.02.001: SADC Counter Trafficking Dialogue.

Even if you are certain of the project type to use, please consult with the Regional Office as some projects might cover two or more project types and it might not be straightforward which project type to use. Together with the RMO or designated resource management staff, use these project type templates to develop a spreadsheet describing the costs of the proposed project. When sending this project budget format to the donor you may want to leave out the column with WBS lines as this may not be relevant for the donor to see.

**Donor Budget Format:** some donors have their own budget template format and may not accept the IOM Project Budget Format. In that case, it will be necessary to create the Donor Structure, called in PRISM terms, Special Sponsored Programmes. Typical examples are the EC funded projects. For each donor line in the donor template, identify the 5th level WBS (or a group of 5th level WBSs) of the corresponding project type template that will best match the item/activity described in the donor budget line. You have to work closely with the RMO when developing the Special Sponsored Programme budget. The actual Special Sponsored Programme Budget is mapped at the Budgeting for New Projects (BNP) stage. It is submitted to PIU with the PARF package. If everything is in order, PCST releases the Project and a few days later the Manila Budget Support (MBS) uploads the budgets into PRISM. Whether the IOM Project Budget Format or Special Sponsored Programme is used, the process is the same of having to match the description of the expenditure or activity to the 5th level WBS. The difference between the two occurs during the BNP creation.



### Information

To understand the relationship between a project budget line (identified by a level five WBS) and a special sponsored programme (donor budget line), please note that each special sponsored programme corresponds to either a level five WBS or a number of level five WBSs grouped together.

For example, a WBS of RE.0003.KE10.02.001 is read as follows:

RE.0003	KE10	10	02	001
Project ID Level 1:	Business Area Level 2:	Activity Cost Type Level 3:	Activity Cost Group Level 4:	Activity Cost Level 5:
Resettlement Assistance project	Part of the budget is allocated to KE10, in this case, Nairobi office in Kenya	Staff Costs International	International operational staff	Actual Staff member

- **Level 1: Project ID**

The first level is composed of two letters and four digits. The first two letters correspond to an IOM project type, which signifies a main type of IOM activity. An example of a level one WBS is “RE.0003.” In this example, “RE” refers to the project type “Resettlement Assistance.” The four digits “0003” refer to the sequential number automatically assigned by PRISM to a specific resettlement project. No two projects with the same project type will have the same four digits in level one. Just by looking at the WBS, an IOM staff member familiar with the codes can understand that “RE.0003” refers to a resettlement assistance project.

- **Level 2: Business Area**

The second level of WBS builds upon level one by adding two letters and two numbers. The two letters signify the country code location with budget allocation, and the two numbers signify the office within the country. This is referred to as the business area. In the example “RE.0003.**KE10**”, the business area is “KE10,” with “KE” referring to Kenya, and “10” referring to the main office

in Nairobi. The list of IOM business areas is available on the IOM Intranet, or you can request it from your resource management staff. Just by looking at level two WBS “RE.0003.KE10,” an IOM staff member can understand that this is referring to a resettlement assistance project with budget allocation in the Nairobi office in Kenya. The managing office is the one responsible for the project.



### Information

When using the PRISM structure, it is important to understand the difference between managing offices and implementing offices. Any office with a budgetary allocation (that is, a business area) is an implementing office. For a project with multiple locations, the PRISM system arranges the countries alphabetically, so the managing office may not appear at the top of the PRISM structure. The managing office is found in the system at the project definition level, above the first level WBS but it is not reflected in the coding of the WBS and it is hosted in a system field name “Business Area” that is part of the first level. Therefore, it can be said there are two different “Business Areas” in projects: (1) The “budget allocation” business area that is reflected in the coding, and (2) the Managing Office Business Area that is not reflected in the coding, but hosted in a field that is part of the Project Definition information. The use of these different fields are: (1) to track budget by allocation, and (2) to track budget by overall responsibility (i.e. the managing office).

- **Level 3: Activity Cost Type**

The third level builds upon level two, using a two-digit code. These two digits describe the main category of the expense. The different categories of expenses are available in the IOM project templates and service areas file on the IOM Intranet. Generally, they describe the different staff, office, and operational expenses that

IOM incurs in the course of its work. Some examples of expense categories are:

- o “staff costs international”, which is assigned the two-digit code “10”
- o “office costs,” which is assigned the two-digit code “12”
- o “movement assistance” which is assigned the two-digit code “25.”

When these expense categories are added in level three, the WBS appears as: “RE.0003.KE10.10”. By looking at this level three WBS, an IOM staff member can recognize that it refers to a resettlement assistance project with budget allocation in the Nairobi office in Kenya and that it is related to “staff costs international”.

- **Level 4: Activity Cost Group**

Building upon the previous level, level four subdivides level three WBS into different types of expenses through the use of a two-digit code. For example, there are different types of international staff costs, and there are different types of movement assistance that can be provided. For example:

- o “RE.0003.KE10.10.01” would refer to international management staff, as the category of international **management** staff has been assigned the code “01”, while “RE.0003.KE10.10.02” would refer to international **operational** staff, as the category of international operational staff has been assigned the code “02”.
- o “RE.0003.KE10.25.01” would refer to pre-departure assistance, as this type of movement assistance has been assigned the code “01”, while “RE.0003.KE10.25.02” would refer to reception assistance, as this type of movement assistance has been assigned the code “02”.



### Information

Using these standard categorizations of activity cost groups allows the organization to analyze data at a higher level. For example, if a donor would like to know how much IOM has spent on training activities in a given region one can search in PRISM on the Business Area codes of that region and the Activity Cost Group for Training. This will give you specific information that may be used to discuss IOM's efforts and expertise on the subject in your area and use it as leverage for negotiation.

- **Level 5: Activity Cost**

Level five WBS is a complete project budget line, to which charges can be made. This level builds upon the previous level by adding a three-digit code. However, it does not contain any new categorization information. Rather, it can describe different charges within the same category, if necessary. For example, the two WBSs below refer to exactly the same type of expense. These are expenses for a resettlement project with budget allocation in the Nairobi office in Kenya, and the costs related to international operational staff. Because the last three digits are different, the user understands that these are two different international operational staff types:

- o RE.0003.KE10.10.02.**001**
- o RE.0003.KE10.10.02.**002**.

In this level, you may assign your own wording to the three digit code as required. For example, RE.0003.KE10.10.02.001 is Operations Officer (Refugee Camp A) and RE.0003.KE10.10.02.002 is Operations Officer (Refugee Camp B). However, please note that you do not necessarily need separate WBSs for each staff member. You can break down all activities if you need to report in detail to the donor, or if you want to keep a separate track of the activities in your project for a given item.

To use the PRISM project structure, first decide on the project type in consultation with the Regional Office. In some cases, the project type for a certain proposal is already known. For example, you may know that a project to assist a ministry of labour to develop regulations for international private recruitment agencies would fall under the project type Labour Migration (which is assigned the project type code “LM” in the PRISM project structure). You would then refer to the LM section of the PRISM project structure and begin using WBS to develop the project budget lines. If the project proposal contains two or more types of activities, the main project type will usually be determined by which activity type has the greatest percentage of the operational budget.

The example in Table 2.11 shows the “technical cooperation and capacity-building” section of the operational budget of an LM PRISM project structure. The lines that are in bold represent complete level five WBSs, or project budget lines

**Table 2.11: Example of PRISM LM Project Structure**

LM.0001.XXXX.54	Technical Coop and Capacity-building
LM.0001.XXXX.54.01	Institutional Strengthening
<b>LM.0001.XXXX.54.01.001</b>	<b>Institutional Strengthening</b>
LM.0001.XXXX.54.02	Technical Equipment
<b>LM.0001.XXXX.54.02.001</b>	<b>Technical Equipment</b>
LM.0001.XXXX.54.03	Multi-agency Coordination
<b>LM.0001.XXXX.54.03.001</b>	<b>Multi-agency Coordination</b>
LM.0001.XXXX.54.04	Expert Services
<b>LM.0001.XXXX.54.04.001</b>	<b>Expert Services</b>
LM.0001.XXXX.54.05	Seminars, Workshops, and Conferences
<b>LM.0001.XXXX.54.05.001</b>	<b>Seminars, Workshops, and Conferences</b>
LM.0001.XXXX.54.06	Training Officials Trainers
<b>LM.0001.XXXX.54.06.001</b>	<b>Training Manuals</b>
<b>LM.0001.XXXX.54.06.002</b>	<b>Course Delivery</b>
<b>LM.0001.XXXX.54.06.003</b>	<b>Venue Costs</b>
<b>LM.0001.XXXX.54.06.004</b>	<b>Translations/Interpretations</b>
LM.0001.XXXX.54.07	Tech Assist in Drafting Legislation
<b>LM.0001.XXXX.54.07.001</b>	<b>Tech Assist in Drafting Legislation</b>
LM.0001.XXXX.54.08	Information Dissemination
<b>LM.0001.XXXX.54.08.001</b>	<b>Information Dissemination</b>
LM.0001.XXXX.54.09	Study Tours
<b>LM.0001.XXXX.54.09.001</b>	<b>Study Tours</b>
LM.0001.XXXX.54.10	Local Capacity-building / Training
<b>LM.0001.XXXX.54.10.001</b>	<b>Local Capacity-building / Training</b>
LM.0001.XXXX.54.11	Other Tech Coop and Capacity-building
<b>LM.0001.XXXX.54.11.001</b>	<b>Other Tech Coop and Capacity-building</b>

Next, determine which of the WBS lines are required for the project, and delete all of those that are not required. In the example on Table 2.12, the lines for technical equipment, training of officials, study tours, and other technical cooperation and capacity-building are removed.

**Table 2.12: Example of Abridged PRISM Project Structure**

LM.0001.XXXX.54	Technical Coop and Capacity-building
LM.0001.XXXX.54.01	Institutional Strengthening
<b>LM.0001.XXXX.54.01.001</b>	<b>Secondment of Expert to Labour Migration Directorate in Country A</b>
LM.0001.XXXX.54.03	Multi-agency Coordination
<b>LM.0001.XXXX.54.03.001</b>	<b>Quarterly Multi-agency Coordination Meetings</b>
LM.0001.XXXX.54.04	Expert Services
<b>LM.0001.XXXX.54.04.001</b>	<b>Expert Consultants on Labour Migration</b>
LM.0001.XXXX.54.05	Seminars, Workshops, and Conferences
<b>LM.0001.XXXX.54.05.001</b>	<b>National Conference on Labour Migration in Country A</b>
LM.0001.XXXX.54.07	Tech Assist in Drafting Legislation
<b>LM.0001.XXXX.54.07.001</b>	<b>Tech Assistance to Country A in Drafting Legislation on Labour Migration</b>
LM.0001.XXXX.54.08	Information Dissemination
<b>LM.0001.XXXX.54.08.001</b>	<b>Disseminate Information to Government Officials on Labour Migration</b>
LM.0001.XXXX.54.10	Local Capacity-building / Training
<b>LM.0001.XXXX.54.10.001</b>	<b>Govt Staff of Labour Migration Directorate Attending Regular Seminars/Trainings</b>



### Information

Be careful not to mix different project type budget templates. The same template must be used for all budget lines.

Next, add the following columns to the project budget lines (level 5):

- *Unit*: for staff and office, the units are usually in months, but for items that require a single payment (such as the purchase of vehicles or information technology (IT) equipment), the unit can be indicated as a “once off”.
- *Number of units*: these are the number of units needed to implement the project (that is, 12 months, 24 persons).
- *Unit cost*: this is the cost of 1 unit (such as 1 month of a Project Manager’s salary, or 1 month of office rent).
- *Total*: the total per budget line is calculated by multiplying the number of units by the unit cost.

Continuing with the technical cooperation and capacity-building component for the Labour Migration example, the structure of this section of the budget would now appear as in Table 2.13 below.

**Table 2.13: Example of an IOM Project Budget Format (see Annex 2.2)**

WBS	Item	Unit	No. of units	Unit cost	Total
C. Operational Costs					
<i>Outcome 1: Strengthened Institutional, Technical and Human Capacity of Labour Migration Directorate in Country A</i>					
LM.0001.XXXX.54.01.001	Secondment of expert to Labour Migration Directorate Country	Months	12	2,500	30,000
LM.0001.XXXX.54.03.001	Quarterly Multi-agency Coordination Meetings	Each	4	500	2,000
LM.0001.XXXX.54.04.001	Expert Consultants on Labour Migration	Days	40	600	24,000
LM.0001.XXXX.54.05.001	National Conference on Labour Migration in Country A	Each	1	1,000	1,000
LM.0001.XXXX.54.07.001	Tech Assistance to Country A in Drafting Legislation on Labour Migration	Months	12	500	6,000
LM.0001.XXXX.54.08.001	Disseminate Information to Government Officials on Labour Migration	Each	10,000	.50	5,000
LM.0001.XXXX.54.10.001	Govt Staff of Labour Migration Directorate Attending Regular Seminars/Trainings	Each	6	800	4,800

Keep in mind that, if there is a need to add a project budget line, this can be done by adding a level five WBS code. For example, if the project aims to conduct institutional strengthening for a ministry of labour and for private employment agencies, it may be useful to separate these into separate budget lines. Then proceed to completing all the cells in the structure to derive the project budget. While the example above has focused on only operational costs, keep in mind that each IOM budget will have, at a minimum, staff costs, office costs, operational costs, and overhead costs.



#### Definition

**Staff costs** are the salary and relevant entitlements for all positions, including 8 per cent for terminal emoluments.



#### Definition

**Terminal Emoluments** is the sum of entitlements due to a staff member upon separation from the Organization in line with the employment contract or the Staff Regulation and Rules. For more information on Terminal Emoluments, refer to the 2012 Programme and Budget (MC/2317).

In situations where only part of staff time is dedicated to a project, the relevant proportion of the time spent working on the project should be allocated to it in line with IOM's projectization model. There are different types of staff contracts that may have an impact on the final calculation of the salaries (see Module Four for more information). It is therefore important for you to consult your resource management staff to obtain precise information on types of contracts, grades, and associated costs at a particular duty station.

First, consult with your RMO or resource management staff to make a realistic assessment of the staff needs. Determine if international or local staff are needed and their appropriate

grade. Staff costs should include costs for operational staff who are directly involved in the implementation of the project, as well as for those staff who contribute to the general running of the office, such as media and public information staff, receptionists, IT staff, and drivers. As much as possible, include staff on fixed-term contracts instead of short-term ungraded contracts, which lack benefits and provide less job security. It is important to include the actual cost to IOM of international and nationally recruited staff, and not just the monthly salary that appears on project expenditures. Acknowledge and consider the need for staff to monitor the project's activities and results, and the need to budget for staff development.



#### Definition

**Projectization** is a cost and time allocation model through which the staff and office costs associated with implementing a project are charged to projects.



#### Definition

**Office costs** are all the office costs required to support project implementation.



#### Resource

For projects with a substantial IT component, also coordinate the budget with the ITC Division in Headquarters.

All office costs (for example, office rental and utilities, compliance with Minimum Operating Security Standards, communications, equipment, project monitoring software, IT, and travel) should be included in the budget. In situations where the project will contribute to shared costs, such as the use of office space and general office supplies, the relevant portion should be incorporated in the budget.

While there is no standard way in IOM of filling in the Staff and Office part of the Project Budget, it is highly recommended to follow the Staff and Office categories that are identified in the PRISM Project Structure. This will greatly facilitate the uploading of the project budget in PRISM BNP and ensure alignment of project budgets within IOM.



### Definition

**Operational costs** are expenditures directly related to the implementation of project activities.

Keep in mind that operational costs need to be clearly linked with the results of the project. If costs are involved in monitoring project activities (for example, conducting baselines and post-intervention surveys to measure the impact of a public information campaign) then these costs must be included in the operational section of the budget.

It is important to include here the costs related to monitoring and evaluation; this should include costs for project monitoring visits with donors, external mid-term evaluations, and external end-of-project evaluations. Special requirements by the donor, such as audits, are to be included in the budget.



### Definition

IOM's project-related **overhead** is a percentage charged to each project to cover indirect administrative costs (such as management, administrative staff and security) at Headquarters and in the Field, necessary for project support, which are not directly related to a specific activity. The percentage is intended to approximate the value of the contribution of indirect costs to each project.<sup>7</sup>

This method of covering indirect costs through an overhead charge on all projects is one that is used by most, if not all, international organizations. IOM's overhead rate is one of the lowest among international organizations.

IOM charges an overhead rate of 5 per cent on total costs for most projects, or 12 per cent on staff and office costs for return and resettlement projects, where international transportation costs make up a significant portion of total costs.

<sup>7</sup> Informal Consultations on Budgetary and Management Matters, IC/2005/5, Geneva, 16 June 2005.



### Information

These overhead rates have been established by IOM's Member States and must be incorporated into each project budget, with the exception of project proposals that seek funding from IOM Development Fund. Refer to IB/51: IOM Overhead Policy.



### Information

Any exceptions to the overhead rate must be approved by the Chief of the Accounting Division within the Department of Resources Management (DRM).

The ratio between staff/office costs and operational costs is determined mostly by the type of project; for example, movement projects tend to have higher operational costs due to the transport component, while technical cooperation projects tend to have lower operational costs and higher staff costs. For IOM projects, there is no standard percentage distribution between staff/office costs and operational costs.



### Information

For IOM project budgets submitted to IOM Development Fund, the total staff and office cost should not exceed 30 per cent of the total budget.

Depending on the type of project, and whether or not the donor approves, budgets can be heavier on either staff and office costs or on operational costs. Although it is recommended that staff and office costs not exceed 25 to 30 per cent of the total budget, do not feel constrained by that limit if a percentage greater than 30 per cent can be justified. At IOM, there is a general tendency to underestimate staff and office costs, which will cause problems later on during project implementation as there will be no more staff to run the project while the operational budget has not been spent.

## 1.9.b Budget Narrative

In some cases, the donor may request a budget narrative. The budget narrative is simply a narrative explanation of the items in the budget. At times, budget narratives may require an explanation of how the cost estimates were derived (for example, IOM staff salaries are determined by the United Nations International Civil Service Commission, or estimated costs for certain activities, such as printing information materials, may have been derived from checking the local market rates).



### Examples

#### Budget Narrative

**Staff costs:** All international and national staff positions are estimated according to IOM / United Nations salary scales. The amount indicated estimates the monthly salary and benefits of each staff position, including base salary, post adjustment, hazard/mobility pay, special allowances, insurances, and terminal emoluments. For all IOM staff, actual monthly compensation may vary slightly from month to month. Thus, figures are best estimates of the foreseen average monthly costs.

**Office costs:** IOM office space is shared among projects based on the amount of personnel and space needed for the project. The project's share of office operations, including Internet operations, office security, utilities, IT maintenance, office rental, office maintenance, and bank charges, will be USD 2,000 per month.

**Operational costs:** Funding for the community radio programme will cover production, copying, distribution, and broadcast costs for the counter-trafficking radio programme on local radio stations. Costs are based on the assessment of local market costs.

**Overhead costs:** This line is for standard IOM overhead costs. It is calculated at 5 per cent of the total project cost, which equals USD 1,200.



### Resource

For more information on developing budgets contact your resource management staff or the Budget Division at Headquarters.



### Information

Keep in mind the following data protection considerations in proposal development:

- When relevant, data protection should be included as a policy consideration in project documents, and the following statement should form part of the project proposal: “IOM shall take all reasonable and necessary precautions to preserve the confidentiality of personal data and the anonymity of data subjects. All personal data shall be collected, used, transferred, and stored securely in accordance with the IOM data protection principles.” In addition, IOM should always try to assert ownership of personal data. If the project involves the development of a database, IOM should reserve all rights of ownership relating to the database and the personal data contained therein.
- If the project involves the collection and processing of personal data, staff costs, office costs, and operational costs should reflect the essential costs needed for the implementation of the IOM data protection principles. Such costs include, *inter alia*, data security measures (for example, safety cabinets to store confidential paper records and IT systems, hardware/software and encryption tools to protect confidential electronic records), staff capacity (for example, to conduct data quality checks/extrapolate non-personal statistical data prior to disclosure or sharing with third parties), and training needs for IOM project staff and stakeholders if necessary.
- It is important to continually monitor the risks and benefits of collecting and processing personal data throughout the project cycle and to ensure that adequate safeguards are in place at all times.



### Information

The budget annex to the IOM proposal template does not have a word count, or a page limit.

## II. USE OF PROPOSAL TEMPLATES

The use of the standard IOM proposal template is mandatory and must be completed for the proposal to receive institutional endorsement before submission to a prospective donor. This requirement aims to address the legitimate interest of IOM in collecting standardized results-focused project data for purposes of comparative analysis between projects. It also aims to ensure that a minimum standard of information is available to the Project Manager at the time project implementation begins.

### II.1 Expedited Procedure for Project Endorsement (EPPE) Template

In exceptional circumstances, a project proposal will be channeled through the Expedited Procedure for Project Endorsement (EPPE). EPPE omits the standard procedural requirement that a proposal be formatted in the standard IOM proposal template. Instead, an eligible proposal should be formatted according to the expected donor's requirements only, or, if no formatting requirements are specified, according to the EPPE Proposal Template.



#### Information

Refer to Module Three for information on EPPE and eligibility requirements.

### II.2. Donor Templates

If a prospective donor requires that a different template be used, you are to complete the donor's template. As discussed further in Module Three, this completed template must then be submitted to the relevant IOM Regional Office for review and approval for submission. This approval for submission does not represent the institutional endorsement of the proposal; it is the institutional authorization sufficient to allow you to share the proposal with a prospective donor.

Should the proposal receive a funding pledge, you would then be required to complete the IOM proposal template in order to receive institutional endorsement and, eventually, to activate the project.

### III. PROJECT INFORMATION MANAGEMENT

During the proposal development phase, IOM's principal tool for data capture is the final, endorsed version of the project proposal, formatted in the IOM proposal template. A proposal in an alternative template is considered part of IOM's institutional record when shared with the Regional Office to gain approval for submission to a donor, but it is superseded by the endorsed proposal in the standard IOM proposal template, should a donor agree to fund it. You may also choose to share incomplete versions of a proposal with the Regional Office for consultation purposes, but there is no institutional requirement to do so.

**Table 2.14: Information Management in Proposal Development**

Information/ Documents	Party responsible	Process	Purpose
Draft proposal and supporting documents	Project developer	Project developer keeps on file.	Kept on file until ready for review and endorsement procedures described in Module Three.



## Tool 2.6 Proposal Development Checklist

	Required	Recommended
<b>Completing the IOM proposal template</b>		
Have you determined if the proposal should be developed in the standard IOM proposal template or if an exception applies?		
Does the title reflect IOM's migration mandate, the geographical area, beneficiaries, and type of activity and is within 250 characters in length?		
Is all required information included in the project data section?		
Does the summary provide a brief review of the context and the need for the project, as well as its objective, outcomes, outputs and activities?		
Does the rationale section explain the problem and why it is significant?		
Does the rationale section explain why the approach being proposed is the right one?		
Does the rationale section describe the key stakeholders?		
Does the rationale section explain how the project is linked to broader national, regional, or global objectives?		
Are the roles and inputs of the key partners defined in the partnerships and coordination section?		
Has the potential utility of an evaluation been proposed?		

	Required	Recommended
If an evaluation is proposed, does it describe the objectives, use, timing and methodology, as well as whether the evaluation is to be conducted internally or externally?		
If no evaluation is proposed, is the justification provided reasonable?		
Have you determined the appropriate PRISM project type in coordination with the Regional Office, if necessary?		
Is the Results Matrix complete and is it logical?		
Have you reviewed the Results Matrix to ensure that the objectives, outcomes, and outputs are properly formulated?		
Have you used the PESTLE Analysis (Tool 1.2) and the Risk Matrix (Tool 1.3) from Module 1 to develop assumptions and assess the identified risks?		
Have you used SMART to ensure that the indicators are properly formulated?		
Have you developed the budget in the PRISM project structure?		
Is the workplan complete?		
<b>Project information management</b>		
Have you kept the draft proposal on file?		

## List of Resources

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### Publications

- Australian Agency for International Development  
2005 *AusGuidelines: The Logical Framework Approach*. Australian Agency for International Development.
- Swedish International Development Cooperation Agency  
2004 *The Logical Framework Approach*. Swedish International Development Cooperation Agency.
- United Nations Development Group  
2007 *Results-based Management in UNDAFs*. Issue Note.  
2009 *Guidelines for UN Country Teams on Preparing a CCA and UNDAF*. Common Country Assessment and United Nations Development Framework.  
2010 *Results-based Management Handbook: Strengthening RMB Harmonization for Improved Development Results*.
- United Nations Development Programme  
2009 *UNDP Handbook on Planning, Monitoring and Evaluating for Development Results*. United Nations Development Programme, New York.
- World Bank  
1996 *Performance Monitoring Indicators Handbook*. World Bank Technical Paper No. 334, Washington DC.

## Websites

IOM: IOM Development Fund  
[www.iom.int/1035/](http://www.iom.int/1035/)

Managing for Development Results  
[www.mfdr.org/](http://www.mfdr.org/)

Organization for Economic Cooperation and Development:  
Development Cooperation Directorate  
[www.oecd.org/department/0,2688,en\\_2649\\_33721\\_1\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/department/0,2688,en_2649_33721_1_1_1_1_1,00.html)

United Nations Development Group: Results Based Management  
[www.undg.org/index.cfm?P=224](http://www.undg.org/index.cfm?P=224)

University of Wisconsin: Enhancing Program Performance with Logic Models  
[www.uwex.edu/ces/lmcourse/](http://www.uwex.edu/ces/lmcourse/)

## IOM documents and resources

### IOM bulletins, instructions, and manuals

- IB/51: IOM Overhead Policy
- IN/138: IOM Data Protection Principles
- MA/61: Gender Sensitive Budgeting Booklet
- MA/62: Guide on Gender Indicators for Project Development
- MA/163: BNP Budgeting for New Projects
- MC/2317 2012 Programme and Budget

### IOM forms and templates

- IOM budget template
- IOM project templates and service areas
- IOM proposal template
- IOM Development Fund templates  
(see [www.iom.int/1035/templates.htm](http://www.iom.int/1035/templates.htm))

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## Annex 2.1 IOM Proposal Template

### [PROJECT TITLE]

Project type:  
Secondary project type:  
Geographical coverage:  
Executing agency:  
Beneficiaries:  
Partner(s):  
Management site:  
Duration:  
Estimated budget:

#### Summary (350 words maximum)

*Provide a brief overview of the proposed project, including the context and the key problem(s) to be addressed, and the project's objective. Also describe how the main activities will achieve the outputs, and how the outputs are likely to result in the outcomes.*

*See IOM Project Handbook, Module 2 Proposal Development  
(Step 3: Project Summary)*

#### 1. Rationale (600 words maximum)

*Justify the project being proposed by describing its rationale:*

- (a) *What is the problem and why is it significant?*
  - *What is the situation to be addressed?*
  - *Why is the situation a problem?*
  - *Where, specifically, is it a problem?*
  - *For whom is it a problem?*
- (b) *Why is the approach being proposed the right one?*
  - *How would solving the problem be of value to the intended beneficiaries?*
  - *Why is this approach the preferred option to address the problem?*
- (c) *Who are the key stakeholders?*
  - *Why is IOM's involvement necessary to solve the problem? What is IOM's comparative advantage in implementing the project? What special skills, knowledge, and/or capacities does IOM have to justify its involvement?*
  - *Which other stakeholders would be involved in the project, and why are they required for the project to succeed?*
- (d) *How is the project linked to broader national, regional, and/or global initiatives?*

*See IOM Project Handbook, Module 2 Proposal Development  
(Step 4: Project Rationale)*

## 2. Partnerships and coordination (350 words maximum)

*Describe the role and/or the key responsibilities of each of the main partners who will be involved in the implementation of the project. Also describe how the project management structure will ensure that the main partners will coordinate their activities.*

*See Module 2 Proposal Development  
(Step 5: Partnerships and Coordination)*

## 3. Evaluation (350 words maximum)

*Indicate the objective(s) and timing of the evaluation, as well as its intended use. Also describe the expected methodology to be employed in realizing the objective(s), and whether the evaluation would be conducted internally or externally.*

*If no evaluation is envisaged for the project, provide an appropriate justification.*

*Remember to include the cost of the evaluation in the budget.*

*The proposal may omit a budget line for evaluation if the expected donor has indicated that it will not fund an evaluation before receiving the proposal, or if it has been agreed that the evaluation would be funded by the donor or a third party outside of the project.*

*See Module 2 Proposal Development  
(Step 6: Evaluation)*

#### 4. Results Matrix

See Module 2 Proposal Development (Step 7: Results Matrix)

	Indicators	Baseline/Target	Assumptions
<p><b>Objective</b> The most significant, realistic goal to which the project can contribute.</p>	Quantitative or qualitative factors or variables to measure achievement or to reflect expected changes.	<p><i>Baseline measurement</i> establishes the value of the indicator at the beginning of the project planning period.</p> <p><i>Target</i> describes the expected value of the indicator upon completion of the result.</p>	
<p><b>Outcomes</b> The intended changes in institutional performance, individual or group behaviour or attitudes, or the political, economic, or social position of the beneficiaries.</p>	Quantitative or qualitative factors or variables to measure achievement or to reflect expected changes.	<p><i>Baseline measurement</i> establishes the value of the indicator at the beginning of the project planning period.</p> <p><i>Target</i> describes the expected value of the indicator upon completion of the result.</p>	Assumptions necessary for the outcomes to contribute to the achievement of the objective.
<p><b>Outputs</b> The intended changes in the skills or abilities of the beneficiaries, or the availability of new products or services as a result of project activities.</p>	Quantitative or qualitative factors or variables to measure achievement or to reflect expected changes.	<p><i>Baseline measurement</i> establishes the value of the indicator at the beginning of the project planning period.</p> <p><i>Target</i> describes the expected value of the indicator upon completion of the activity.</p>	Assumptions necessary for the outputs to deliver the outcomes.
<p><b>Activities</b> The coordination, technical assistance, training, production, delivery, transportation, and other tasks that are organized and executed under the project.</p>			Assumptions necessary for the activities to deliver the outputs.

## 5. Workplan

*Complete a basic work plan which includes the following information:*

- (a) *When are the main activities expected to begin? How long will they last? When will they be complete?*
- (b) *Which partners are responsible for the implementation of each of the main activities?*

*See Module 2 Proposal Development  
(Step 8: Work plan)*

Activity	Party responsible	Time frame								
		Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9

## 6. Budget template

*Prepare a budget using the appropriate budget template.*

*See Module 2 Proposal Development  
(Step 9: Budget)*

## Annex 2.2 Project Budget Form



IOM • OIM

Project Title:  
Project Type:  
Budget Amount Requested in USD:  
Project Duration:

WBS	Item	Unit	Nr of Units	Unit Cost	Total
<b>A. STAFF Costs</b>					
<b>Total Staff Costs:</b>					
<b>B. OFFICE Costs</b>					
<b>Total Office Costs:</b>					
<b>C. OPERATIONAL Costs</b>					
<i>Output 1:</i>					
<i>You may use "outcomes" or "outputs" depending on the size of the project.</i>					
<i>Output 2:</i>					
<b>Total Operational Costs:</b>					
<b>Total A+B+C</b>					
<b>IOM Overhead (5%)</b>					
<b>GRAND TOTAL</b>					

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# Module 3

## PROJECT ENDORSEMENT, SUBMISSION, AND ACTIVATION



## Questions Answered in Module Three

- What should be done after a project proposal has been developed, before submitting it to a donor?
- What are the internal procedures for review and endorsement of project proposals?
- What are the procedures to be followed once the project proposal has been endorsed?

## INTRODUCTION TO MODULE THREE

Read this module if you are a project developer and you have already developed a project and need to submit it to a donor, or if you are a Regional Thematic Specialist (RTS) or Headquarters-designated endorser and need to ensure that the project satisfies internal IOM requirements.

The procedures described in Module Three must be completed before project activation, after which implementation, as described in Module Four, begins.



### Information

Module Three is linked directly to proposal development (Module Two) as it describes how to obtain institutional approval to submit the IOM proposal template to potential donors.

## I. HOW TO COMPLETE PROJECT REVIEW AND ENDORSEMENT



- Sign off by the project developer
- Review and sign off by the Chief(s) of Mission or Regional Director
- Submit to the Regional Office(s) or relevant Division at Headquarters
- Designate an endorser
- Review, revise and endorse / approve for submission

## **I.1 Step One: Forward to the Chief of Mission or Regional Director**

*(to be completed by the project developer)*

Once satisfied that the project proposal has been prepared according to the procedures described in Module Two, forward the project proposal to the relevant Chief(s) of Mission or the Regional Director:

- if the proposed project targets one country only, forward the proposal to the Chief of Mission of the Country Office;
- if the proposed project targets more than one country, forward the proposal to the Chiefs of Mission for all Country Offices that would be involved in the implementation of the project;
- if there is no Chief of Mission in the targeted country or countries, forward the proposal to the Regional Director.

## **I.2 Step Two: Review and Sign Off by the Chief(s) of Mission or Regional Director**

*(to be obtained by the project developer)*

The Chief(s) of Mission or Regional Director reviews the project proposal and confirms his or her approval of the project proposal to the project developer by e-mail.

## **I.3 Step Three: Submit to the Regional Office(s) or Relevant Division at Headquarters**

*(to be completed by the project developer)*

Once the project developer has obtained the required approvals from the Chief(s) of Mission or the Regional Director, send the project proposal and the approval(s) to:

- the relevant Regional Office, sending to the Regional Office mailbox (RO<ROName>PE@iom.int – e.g. RO-BangkokPE@iom.int) for review, copying the endorser, if known. The designated mailbox manager at the



Tips

**Good Practice:  
Thematic networks**

Once a project proposal is approved by the appropriate Chiefs of Mission and has been reviewed and endorsed by the Regional Office, it is recommended that the RTS copy the relevant thematic network. These thematic groups are facilitated by the relevant thematic area at Headquarters and include IOM technical experts in a given thematic area. In this way, the RTS can benefit from the expertise of colleagues, and keep abreast of innovations and developments in their field. This process in no way replaces formal endorsement procedures.

Regional Office is responsible for sending proposals received to the relevant RTS or Headquarters for review and endorsement;

- the relevant Division at Headquarters, if the proposal has been developed by the Regional Office.



Information

Keep in mind that consultation with the RTS can begin even before step three. In fact, the earlier the consultation starts with the RTS, the better. This helps to ensure that when a project proposal is submitted to the RTS, he or she is familiar with the project proposal, thus allowing for a more rapid turnaround. Early consultation is particularly important when submission timeframes are tight.

**I.4 Step Four: Designate an endorser**

*(to be completed by the RTS or a Thematic Specialist in the relevant Division at Headquarters. Refer to Annex 3.1 for the review and endorsement process flow.)*

Once the project proposal has been received by the Regional Office, the designated mailbox manager is responsible for ensuring that it is forwarded to the concerned RTS and, where relevant, the RLPO. Do this by:

- (a) confirming the project type and secondary project type,
- (b) determining the thematic area responsible for endorsement,
- (c) designating an endorser,
- (d) determining if the IOM Regional Office in Brussels or a Country Office with Resource Mobilization Functions (CORMF) is to be involved in the review process, and
- (e) determining if a secondary review is required. Refer to Tool 3.1.



### Tool 3.1 Designating the Project Endorser and Secondary Reviewers

<p>1. Determine the project type and secondary project type</p>	<p>If you are an RTS or a Thematic Specialist in a Division at Headquarters, review the project proposal and ensure that the appropriate project type has been assigned and that the corresponding budget template has been used to create the budget. Refer to the IOM Intranet for more information on project types and to Module Two for budget templates.</p> <p>Note that, in some cases, the proposed project may include activities from different project types. For example, a project that provides trafficked persons with assistance may also contain a significant health component, or a project aimed at assisting internally displaced persons may have a significant health component. In such cases, the project type and secondary project type must be determined in coordination with the relevant RTS in the region or the relevant Divisions at Headquarters. The activity type with the largest percentage of the operational budget will usually determine the project type, with smaller activity types becoming the secondary project type.</p>
<p>2. Determine the thematic area responsible for endorsement</p>	<p>In most cases, the project type indicates the thematic area responsible for endorsement. For example, a counter-trafficking project type falls within the Migrant Assistance Division.</p> <p>In specific cases, a particular IOM thematic area is responsible for reviewing and endorsing project proposals for a particular Call for Proposals (CFP) or funding mechanism.</p> <p>If a project proposal seeks the continuation of an existing project (i.e., project extension), inform RAS and the same thematic specialist that endorsed the initial project proposal to ensure consistency. No new endorsement is needed. If, however, the project proposal seeks to incorporate a new or additional project activity, endorsement from the same thematic specialist that endorsed the initial project proposal is needed.</p>

3. Assign the proposal to the RTS or Headquarters-designated endorser.

Once the thematic area responsible for endorsement has been identified, assign the project proposal to the appropriate RTS or Headquarters-designated endorser.

**RTS**

For proposals involving one or more of the Country Offices covered by your Regional Office, assign the project proposal to the appropriate RTS. However, if no RTS possesses the necessary thematic competencies, coordinate with Headquarters to designate the project endorser.

**Thematic Specialist in the relevant Division at Headquarters**

Assign the project proposal to a Thematic Specialist in the relevant Division at Headquarters in the following cases:

- proposals involving one or more of the Country Offices covered by a single Regional Office where no RTS with the necessary thematic competencies exists.



**Information**

It is the responsibility of the relevant Headquarters Division to designate particular staff members as responsible for project endorsement in its thematic area and to communicate this clearly to all Regional Offices. Where expertise is lacking or the assigned endorser is absent, the relevant Headquarters Divisions are responsible for designating alternative endorsees in their respective thematic areas.

- proposals involving two or more countries that are covered by more than one Regional Office.
- proposals developed at Headquarters (if you developed a proposal, you may not endorse it yourself; an alternate Thematic Specialist must be designated).
- proposals developed in a Regional Office by the RTS.



**Information**

If the RPDO develops a project proposal for a Country Office in his/her region, the RTS with the relevant expertise or concerned RLPO reviews for purposes of endorsement or approval for submission.

- emergency response proposals. These will continue to be reviewed and endorsed by the Preparedness and Response Division (PRD) within the Department of Operations and Emergencies (DOE) in Headquarters. Country Offices shall continue to send all emergency response proposals to DOE/PRD with the relevant Regional Office endorsing entity in copy. This does not apply to post-crisis/ recovery projects.
- Proposals for research projects or projects with research components, where the majority of budgeted activities relate to regional or global policy dialogues, or to international migration law. These will be coordinated by the RLPO with the thematic Division in Headquarters and with the relevant RTS for final endorsement.

Once a project proposal has been assigned to the relevant project endorser, he/she is to notify the project developer when to expect the initial feedback.

4. Determine if the IOM Regional Office in Brussels or a CORMF is to be involved in the review process.

If the project is to be submitted to the European Union centrally or to the government of a country covered by an IOM CORMF, the project proposal must also be reviewed by the IOM Regional Office in Brussels (in the case of the European Union) or the relevant CORMF. These offices will advise on donor requirements and priorities and, if required by the donor, submit the project proposal.

The review process performed by these offices runs parallel to, and does not replace, the review and endorsement of the RTS or the Headquarters-designated endorser.

For important and globally relevant Calls for Proposal (CfP), the RTS or other designated entity is responsible for technical review for purposes of approval for submission and/ or endorsement in a manner consistent with the standard procedures. However, HQ Divisions, in conjunction with the Senior Regional Advisors (SRA), where relevant, have the responsibility of providing strategic guidance at the global level, mediation, and decision-making regarding the final selection of proposals submitted in CfPs with restricted slots. It is the responsibility of Headquarters to inform concerned Field Offices in advance of where and when this takes place. This applies to the following cases:

- i. All EC CfP (except national calls): Headquarters will retain co-responsibility with the Regional Office in Brussels: The Regional Office in Brussels has the responsibility for ensuring compliance with EC procedures, while Headquarters is responsible for the final decision on which

	<p>proposals are submitted for strategic reasons when there are restricted lots. In the case of the EC Thematic Call, focal points from the Department of Migration Management (DMM) and Department of International Cooperation and Partnerships (ICP) will be nominated.</p> <ul style="list-style-type: none"> <li>ii. GTIP and PRM on human trafficking and protection of vulnerable migrants: responsible Division – Migrant Assistance Division (MAD) within DMM.</li> <li>iii. USAID proposals: Headquarters will retain co-responsibility with IOM Washington. (responsible Departments are DMM or DOE, depending on the project type)</li> <li>iv. IOM Development Fund: Regional Offices should consult with the relevant Headquarters Division prior to providing endorsement.</li> <li>v. Sasakawa Foundation: Regional Offices should consult with the relevant Headquarters Division prior to providing endorsement.</li> <li>vi. All CERF proposals: Headquarters will retain co-responsibility with the Special Liaison Office (SLO) in New York.</li> </ul>
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<p>5. Determine if a secondary review is required.</p>	<p>In some cases, the RTS or Headquarters-designated endorser may determine that the project proposal requires review by an additional specialist or additional specialists, usually if the project has one or more secondary project types. If the assigned RTS or Headquarters-designated endorser does not possess competencies in all the relevant thematic areas, he/she is responsible for coordinating with, and consolidating feedback from, another specialist or specialists with the required competencies. This secondary review complements the RTS endorsement process, it does not replace it.</p> <p>Proposals for the IOM Development Fund require coordination with the relevant Division at Headquarters (which is determined by project type and thematic area, as described in steps 1 and 2 of this tool) prior to endorsement from the RTS or Headquarters-designated endorser as well as the IOM Development Fund itself before being submitted to the Director General for final approval of the funding.</p>
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## 1.5 Step Five: Review, Revise, and Endorse / Approve for Submission

*(to be completed by the RTS or Headquarters-designated endorser)*

### 1.5.a Standard Endorsement Process



#### Definition

**Endorsement** is the written authorization provided by the RTS or Headquarters-designated endorser confirming that the project proposal (a) is consistent with the IOM Mission, Constitution, and 12-point strategy; (b) is guided by IOM’s policies, instructions, and guidelines; and any relevant national or regional strategies, (c) is relevant and technically sound, taking into account good practices in the relevant migration area(s), and is feasible within the proposed budget and timeframe, (d) has been developed following IOM’s project development procedures, and (e) is presented in the standard IOM proposal template. Endorsement is given on the basis of a single project type.

Once assigned a project proposal, the RTS or Headquarters-designated endorser acknowledges receipt of the endorsement request and agrees upon a timeline for review with the project developer who submitted the proposal. The review process may involve back and forth communication between the reviewer and the project developer in order to refine the project proposal until it meets all the requirements in the endorsement checklist, attached to this Module as Annex 3.2. As indicated in the checklist, distinguish between the revisions required to receive the endorsement and the revisions recommended in order to strengthen the project proposal. Upon receiving the comments from the RTS or Headquarters-designated endorser, the project developer will revise the project proposal accordingly and will send it back to the RTS or Headquarters-designated endorser. Once the RTS or Headquarters-designated endorser agrees that the project is consistent with the standards of IOM (see “Endorsement” and “Approval for Submission” textboxes), provide the project developer with a written confirmation

of either the endorsement of the project proposal or the approval for submission. It is the responsibility of the RTS or Headquarters-designated endorser to coordinate with all relevant actors, including the RRMO for the budget review.



#### Information

Where applicable, project reviewers should ensure that IOM's data protection principles are referred to in project documents and that budgets include all the necessary costs for the application of adequate data protection safeguards during project implementation.

If the project proposal does not meet the requirements in the endorsement checklist, it is not to be endorsed. If the refusal to endorse a project proposal is contested, the RTS or Headquarters-designated endorser will inform the Regional Director, who is to make the final decision in consultation with the Chief of Mission(s) concerned. If endorsement is refused because a project proposal is deemed to be inconsistent with IOM's mandate, the Regional Director is to consult Headquarters for guidance.

### 1.5.b Expedited Procedure for Project Endorsement

In exceptional circumstances, a project proposal will be channelled through an expedited endorsement procedure. The Expedited Procedure for Project Endorsement (EPPE) omits the standard procedural requirement that a proposal be formatted in the standard IOM proposal template to receive endorsement. Instead, an eligible proposal should be formatted according to the expected donor's requirements only. If no formatting requirements are specified, then the EPPE proposal template is to be used (see Annex 3.3). The EPPE proposal is then endorsed by the responsible entity provided it meets the minimum quality standards.

## ***Eligibility***

As a fast track procedure, EPPE is intended for use in the context of a humanitarian emergency when there is (a) a direct and imminent threat to human security requiring the immediate intervention of IOM, and (b) less than 10 days available for proposal development, review and endorsement, the submission of the proposal to the donor, the receipt of funds, and the start of project implementation. In such a context, the need for an immediate start-up of the activities and delivery of humanitarian assistance is such that IOM waives the standard endorsement procedure.

### ***Confirmation of Eligibility for EPPE***

In general, the relevant endorsing Division within the Department of Migration Management (DMM) or the Department of Operations and Emergencies (DOE) confirms the eligibility of a proposal for EPPE on a case-by-case basis, depending on the thematic scope of activities, and in coordination with the Regional Office. However, the Office of the Director General may authorize in writing the use of EPPE for IOM project proposals developed in direct response to a large-scale humanitarian crisis for a clearly specified period of time, not exceeding three months. Should the need exceed this initial timeframe, the Office of the Director General will review the situation and may extend, in writing, the use of EPPE for an additional three months.

### ***EPPE Project Proposal Template***

IOM's EPPE proposal template is an abridged version of the standard IOM proposal template. The main differences are the exclusion of the Results Matrix and the optional character of the Evaluation section. The EPPE Project Proposal Template is provided in Annex 3.3. For projects requiring the use of donor-determined templates, such as Consolidated Appeals, Central Emergency Response Fund (CERF), European Commission Humanitarian Aid and Civil Protection (ECHO) or similar emergency funding portfolios, please contact your Regional Office or DOE.

### 1.5.c Use of Donor Templates



#### Definition

**Approval for submission** is the written authorization from the designated IOM official confirming that a project proposal presented in a template that is different from the standard IOM proposal template satisfies donor requirements and (a) is consistent with the IOM Mission, Constitution, and 12-point strategy; (b) is guided by IOM’s policies, instructions, and guidelines; and any relevant national or regional strategies, (c) is relevant and technically sound, taking into account good practices in the relevant migration area(s), and is feasible within the proposed budget and timeframe, and (d) has been developed following IOM’s project development procedures.

As described in Module Two, there is a situation which deviates from the standard review and endorsement processes. This is when the donor specifies that the proposal must be submitted in a donor-provided template or – in the case of two-step application procedures involving a concept note and a full proposal – more than one template. The requirement to use a donor-specified template is common in requests for proposals, applications for funding from multi-donor trust funds and joint programmes, and tenders.

As the project reviewer, remind project developers that they may exercise less control over the project development process when applying to a joint programme than they would when applying as a single or the lead organization, due to the collaborative nature of the application process. They should take this into account early in the project development phase by (a) notifying the Regional Office or relevant Division at Headquarters of the intention to participate in a joint programme proposal, and requesting that a project endorser be assigned, (b) regularly updating the endorser on the proposal development process, and (c) informing joint programme partners of IOM’s requirements for review, so that IOM can access the joint programme proposal documents at least five working days before submission deadlines. Remind the project developer that you must provide approval for submission before the joint programme proposal documents are submitted to the funding entity.



## Examples

### **Use of donor-specified templates**

The United States Office to Monitor and Combat Trafficking in Persons regularly issues a grant competition requiring a two-step application. The first step involves the preparation and submission of a statement of interest according to donor specifications and accompanied by specific financial documents.

Submissions to the Millennium Development Goals Achievement Fund thematic windows also require a two-step process involving the completion of a concept note in the Millennium Development Goal Achievement Fund format and, if the concept notes is successful, a complete joint programme document must be completed.

When IOM is completing a tender to carry out work or supply goods, the documentation of the tendering agency is to be used.

If the donor specifies a two-step process involving a concept note or statement of interest and a full proposal, both steps require approval for submission.

If the proposal is successful and funding is granted, ensure that the project developer transfers the full proposal into the standard IOM proposal template. You must then review the completed proposal template for accuracy and provide endorsement. This endorsement is required for project activation.



## Information

Endorsement or approval for submission is mandatory for all project proposals developed by IOM (if IOM is either the lead applicant or a partner) prior to submission to the donor.

### 1.5.d *Fait Accompli* Endorsements

It is the responsibility of Chiefs of Mission and Regional Directors to ensure that project proposals originating from their IOM Offices are developed, reviewed, endorsed/ approved for submission, and submitted to potential donors following the procedures established in the *IOM Project Handbook*.

If a request for endorsement or approval for submission is submitted to the Regional Office or relevant Division at Headquarters after a project proposal has already been approved by a donor, the Regional Office or relevant Division at Headquarters may not provide *fait accompli* endorsement. Instead, the designated endorser shall (a) review the project proposal and provide technical comments, and (b) forward the request for endorsement or approval for submission along with the technical comments to the Office of the Director General.

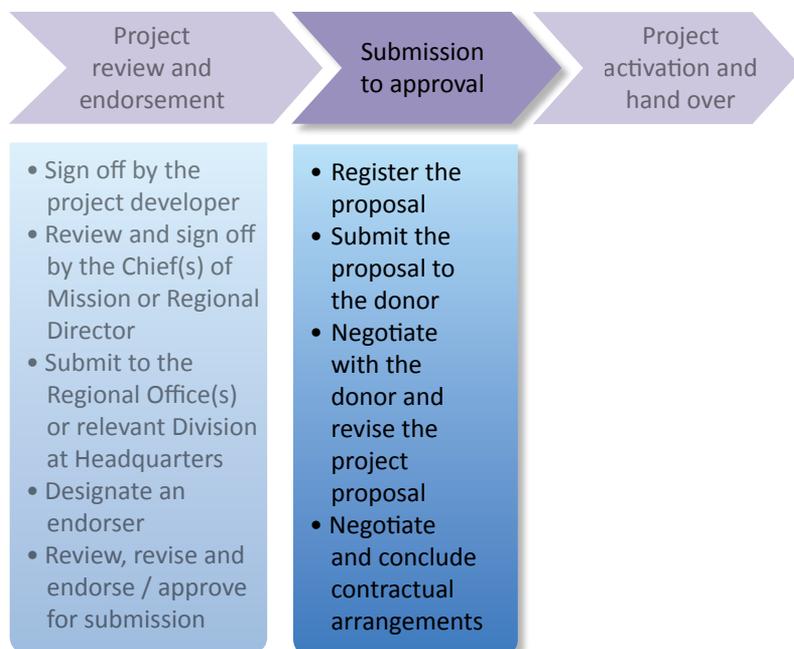
The Office of the Director General will then contact the Chief of Mission or Regional Director of the IOM office from which the project proposal was submitted to justify the irregular procedure and the request for the *fait accompli* endorsement.



#### Information

While Regional Offices are the main entities responsible for project endorsement, it is the joint responsibility of the project developer, project endorser, and ultimately the relevant Chief(s) of Mission to ensure that project proposals meet IOM's quality standards.

## II. STEPS TO FOLLOW FROM SUBMISSION TO APPROVAL BY THE DONOR



### II.1 Six: Register the Proposal

*(to be completed by the project developer)*

Once the project proposal is endorsed or approved for submission, send the final version of the proposal and all related documentation to the Project Information Unit (PIU) in the Manila (Global) Administrative Centre (MAC) for registration. PIU checks that all documents are complete, uploads all documents to the Intranet and assigns a project tracking number to the project proposal. The final proposal and related documentation must be uploaded to the Intranet before the PRISM Central Support Team (PCST) reviews and activates the project (see the section on project activation).



### Information

The final endorsed version of the proposal is to be registered with the PIU. Proposals that have been approved for submission are to be registered with the PIU, clearly indicating that they require final endorsement.

## II.2 Step Seven: Submit the Proposal to the Donor *(to be completed by the project developer)*

There are three ways to submit a project proposal to a donor:

- through an IOM CORMF
- through an IOM Country Office
- through the Donor Relations Division (DRD) at Headquarters.

Review the donor’s documents for instructions on the proper channels for submission. If they are not provided, request this information from the donor. If necessary, seek clarification from DRD or the relevant IOM CORMF. Coordinate with these offices to ensure that the project proposal is submitted properly and according to donor requirements. Regardless of which office sends the submission package to the donor, the entire submission package should be circulated to the relevant Chief(s) of Mission or Regional Director, RTS or Headquarters-designated endorser, the Project Manager (when relevant), DRD and IOM CORMF (when relevant), and the relevant government counterparts. Donors could decide to follow up with any one of these offices through, for example, local embassies, the IOM office in their capital, or their Permanent Representation Mission in Geneva, and it is preferable that these offices be informed and prepared in advance.

For projects with a co-funding requirement, remember that advanced coordination with and approval from IOM’s Co-Funding Group (CFG) is required before a project developer can submit a proposal to a prospective donor. This applies regardless of whether IOM is the main applicant or a sub-contractor with another agency or organization. To receive approval from IOM’s CFG, the project developer must complete

the appropriate version of the Co-Funding Monitoring Form (which is available on the IOM Intranet). Determining which version of the form to use is based on whether IOM is the main applicant or a sub-contractor to another agency.

On the Co-Funding Monitoring Form, the project developer must indicate the amount of co-funding required by the donor/funding mechanism and any specific terms set by the donor about the manner in which the co-funding can be provided (i.e., are in-kind contributions acceptable or not, etc.). The project developer must also indicate on the Monitoring Form any confirmed contribution or official intention to contribute (as documented in an email or letter). Any indicative contributions that may not have been concluded formally yet should also be noted here. Once formal confirmation is received, a new Co-Funding Monitoring Form should be submitted to the CFG. Be sure to allow for sufficient time for this process as the CFG must meet to review each request and may require additional information before they can approve the submission. The Co-funding Group will evaluate the project's financial risk and will advise on actions to be taken in response. These actions range from requesting a reduction to the proposed budget — with related modifications to the project scope and components — to advising against submitting the proposal altogether. Therefore, it is important to coordinate with the CFG from the early stages of the development process. See Module 1 and Module 4 for additional information.

### **II.3 Step Eight: Negotiate with the Donor and Revise the Project Proposal**

*(to be completed by the project developer)*

After submitting a proposal to a donor, discussions and negotiations may take place between IOM and the donor to finalize the project proposal or budget.

Keep the RTS or the Headquarters-designated endorser informed of all revisions made to the project proposal after submission.



#### Information

If the objective, outcomes, outputs, activities, or budget is changed substantially, the RTS or the Headquarters-designated endorser must re-endorse the updated version.

Once finalized between IOM and the donor, again share project documents with the Chief of Mission or the Regional Director, resource management staff, and the Project Manager, if relevant, as well as with other relevant offices and PIU.

## II.4 Step Nine: Negotiate and Conclude Contractual Arrangements

*(to be completed by the project developer)*

Donors may indicate their readiness to fund an IOM activity through a pledge. Most donors formalize their pledges through a contribution agreement. Donor contribution and grant agreements, memorandums of understanding, *note verbale*, and so forth, are formal written exchanges specifying the terms and conditions of a contribution.



#### Definition

A **pledge** is the donor's stated intent to fund a specific IOM project or appeal.



#### Resource

IOM model donor agreements may be downloaded from the Intranet (Intranet Home Page>Office of the Director General> Legal Affairs>Templates).



#### Information

Activities, including the recruitment of project staff, must not begin until a written pledge or agreement has been received from the donor.

The project developer is responsible for contractual arrangements, in coordination with the resource management staff, the Chief of Mission or Regional Director, the Project Manager (when relevant), and the Office of Legal Affairs (LEG). All agreements must be reviewed by LEG prior to signature and should be received by LEG well in advance of the planned signature date. LEG approves a funding agreement only upon written receipt of the evidence of endorsement of the project proposal. LEG also coordinates with the Accounting Division regarding any non-standard financial conditions. A final version of the contract signed by all parties should be shared with LEG for its records.



### Information

Ensure that the LEG reviews and approves the contractual document and assigns it an approval code before it is signed.



### Resource

Contact LEG at leg@iom.int for guidance on appropriate contractual arrangements.



### Resource

Most donors have their own standard memorandum of understanding or contribution agreement. Unless specified by the donor, use the IOM model donor agreement, which is available on the IOM Intranet.

When developing and negotiating donor agreements, consider the following carefully:

- Implementation timeframe**  
 Ensure that the agreed timeframe is clearly defined and stipulated in the agreement and is consistent with the duration stated in the project proposal.
- Currency**  
 Request donors to contribute in USD, the standard reporting currency of IOM. Certain donors will contribute in a different currency. Use the United Nations monthly exchange rate to estimate expenditures in currencies other than USD. The monthly exchange rate is available on the IOM Intranet.
- Bank accounts and receipt of funds**  
 Ensure that the agreement provides details of the IOM Headquarters bank account for the receipt of funds in the appropriate currency. Upon approval from the Treasury Division, funds may be received locally in an existing IOM bank account. Opening a new, separate bank account for a specific project is not possible nor



### Resource

IOM bank account details to be used in the agreement are available from resource management staff.

acceptable. Each project has its own PRISM project identification through which incomes and expenditures are comprehensively tracked

- **Interest income**

Avoid the payment of any interest. Unless otherwise required by a donor, the interest accrued from income is to be credited to miscellaneous income. It will form part of IOM's discretionary income.

- **Instalments and requisitions**

Ensure that the agreement states how many instalments are to be paid, the amount of the instalments, and how payment of each of the instalments is triggered (for example, upon signature of agreement, upon receipt of reports, or upon receipt of a payment request). Instalments should be received in advance in order to ensure that the project balance does not become receivable.

- **Reporting dates**

To facilitate accurate reporting, to ensure that all expenditures are included in reports, and to allow for enough time to prepare, coordinate, and submit reports, aim for the following deadlines:

- o Final report – at least three months after project completion.
- o Interim report – at least six weeks to (preferably) two months after the reported period.

Synchronize the timing of interim and final narrative and financial reports. Allow expenditures after the end date of activities to allow for receipt of pending invoices and final payments.

- **Audit requirements**

Encourage donors to rely on the annual audit performed by IOM's external auditors and the opinion included in the *IOM Annual Financial Report*. IOM's external auditors also prepare a statement regarding the external audit of IOM project accounts, which can be shared with external parties. In exceptional circumstances, IOM's external auditors may prepare

a report for a particular project. If a project audit is required (by either IOM's external auditor or other external auditor), include audit costs in the budget.

- **Overhead rates**

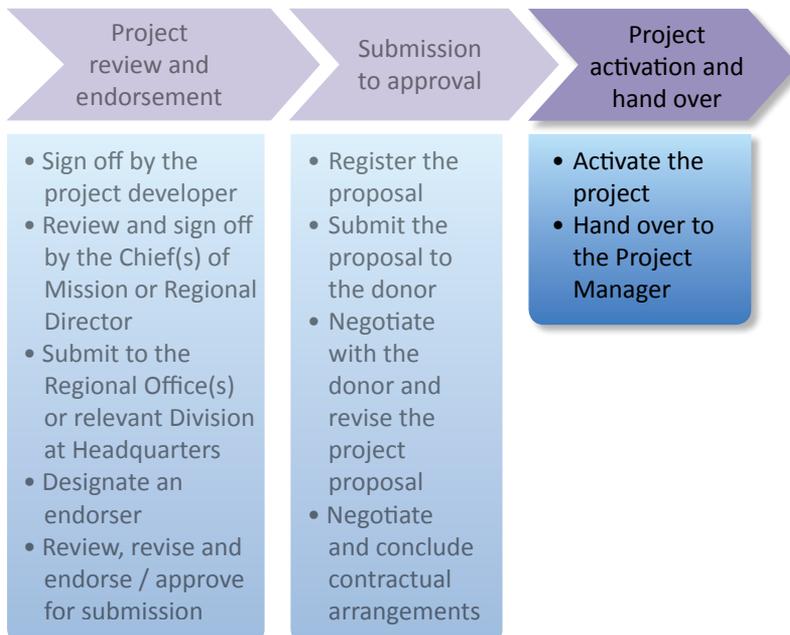
As of 1 January 2006, the standard IOM overhead rate is 5 per cent of total costs. An exception to this are resettlement and return programmes, for which 12 per cent overhead is applied to staff and office costs only, as international transportation costs constitute a significant portion of the budget.



### Information

Guidance on IOM overhead policy can be found in IB/51: IOM Overhead Policy, which is available on the IOM Intranet.

## III. HOW TO HAND OVER THE PROJECT TO THE PROJECT MANAGER AND HOW TO REQUEST FOR PROJECT ACTIVATION



### III.2 Step Ten: Activate the Project

*(to be completed by the project developer and resource management staff)*

After the contribution agreement has been signed by both parties, complete the Project Activation Request Form (PARF), which is available on the IOM Intranet, and send this to resource management staff with all mandatory supporting documents. In the PARF, the project developer should include the name of the Project Manager. The project developer should discuss with the Chief of Mission or Regional Director whose name will be inserted in this field.



#### Definition

The **Project Activation Request Form** is an administrative snapshot of the project that includes all the information required by PRISM to support project implementation, including monitoring and reporting.

The mandatory supporting documents are:

- final project proposal in the standard IOM proposal template or EPPE proposal template
- final budget in IOM PRISM project structure
- signed contribution agreement that includes LEG's approval code for the agreement
- endorsement message of the RTS or other designated official.

The resource management staff reviews the PARF and the supporting documents, and uses the IOM budget template to create the Budgeting for New Projects (BNP). The resource management staff then forwards all of the aforementioned mandatory supporting documents, along with the BNP, to PIU, who will coordinate with the PRISM Central Support Team for project activation. Once the PARF and all supporting documents have been cleared by the Manila Administrative Centre, the PRISM Central Support Team activates the project and notifies by e-mail all the parties concerned.

### III.1 Step Eleven: Hand Over to the Project Manager

*(to be completed by the project developer)*

Once the contribution agreement has been signed with the donor, hand over responsibility to the assigned Project Manager (unless you are the Project Manager). Send a formal hand over message to the Project Manager, including all final project-relevant documentation (that is, the final proposal, annexes, budget, contribution agreement, project timeframe, endorsement, reporting deadlines, and requested format), as well as the donor's contact information and any substantive correspondence related to the project between IOM, the donor, and the host government counterpart. The hand over message should also flag important issues such as the need for an external evaluation or audit, or visibility requirements.



#### Information

For the purposes of this Handbook, the Project Manager is the person who signs the PARF as Project Manager, signifying acceptance of managerial responsibility for the project. It is recommended that the Project Manager is the person with overall day-to-day management of the project. In some cases this may be the Chief of Mission or Head of Office. The PARF describes the Project Manager's responsibilities as follows:

- The efficient and effective management of the project until completion of activities and until the final report is submitted to the donor, or until responsibilities have been handed over to another Project Manager and the PRISM Central Support Team has been informed of the hand over.
- Being fully aware of the requirements of the donor, the signed donor agreement and the project documents, and is to comply to the fullest of their ability.
- Ensuring that all financial reports issued to third party donors are endorsed by Regional Accounting Support (RAS) prior to submission.

- Informing the relevant Division in Headquarters and/or the Department of Resource Management on a timely basis of any problems or obstacles encountered during project implementation that require intervention or assistance from Headquarters.

The Project Manager works closely with the Chief of Mission, who is responsible for overseeing all operational and administrative activities in the Office and the resource management staff, who exercises oversight on financial management within the Office.

#### IV. PROJECT INFORMATION MANAGEMENT

During project endorsement, submission, and activation, the project developer formally submits the concept note or project proposal and any supporting documentation to the project reviewer and endorser. Any necessary revisions are made, and the proposal is then submitted to the donor. Negotiations with the donor are finalized.

There are three main types of information that must be managed during project endorsement, submission, and activation. The first type is the project proposal documentation that the project developer must submit to the project endorser in order to obtain approval for submission or endorsement. The second is the endorsed documentation that is shared with PIU during registration. The third type is the finalized documentation that has been agreed upon and finalized with the donor. These final documents are required for project activation and must accompany the PARF. These documents constitute the formal parameters for project information management and are available Organization-wide.

**Table 3.1: Information Management in Project Endorsement, Submission, and Activation**

Information/Documents	Party responsible	Process	Purpose
<p><b>Documentation to be submitted to the project reviewer and endorser for endorsement:</b></p> <p>Draft concept note and estimated budget</p> <p>Draft project proposal and proposed budget</p> <p>Sign off by project developer</p> <p>Sign off by Chief of Mission and, in the case of multi-country proposals, sign off from all Chiefs of Mission</p> <p>In the case of a co-funding requirement, written clearance from the Co-funding Group</p>	Project developer	Project developer submits to RTS or Headquarters-designated endorser via e-mail.	<p>Required for approval for submission.</p> <p>Required for approval for submission/endorsement.</p> <p>Indicates responsibility for project proposal.</p> <p>Indicates appropriate Country Office approval(s).</p> <p>Indicates required approval has been obtained.</p>
<p><b>Documentation to be submitted to PIU during registration:</b></p> <p>Approved version of concept note and estimated budget or project proposal and budget</p> <p>Endorsement message from RTS or Headquarters-designated endorser</p>	Project developer	<p>Project developer submits to PIU via e-mail.</p> <p>PIU uploads to the Intranet.</p>	<p>Institutional record keeping and information sharing.</p> <p>Indicates required approval has been obtained.</p>

Information/Documents	Party responsible	Process	Purpose
<p><b>Documentation to be submitted with the PARF:</b></p> <p>Final concept note or project proposal in appropriate template</p> <p>Budget estimate (for concept notes) or BNP (for project proposals)</p> <p>Signed contribution agreement</p> <p>LEG approval code for contribution agreement</p> <p>Endorsement message from RTS or Headquarters-designated endorser</p> <p>PIU registration number</p>	<p>Project developer</p>	<p>Project developer submits to PIU via e-mail.</p> <p>PIU uploads to the Intranet.</p>	<p>Institutional record keeping and information sharing.</p> <p>Institutional record keeping and information sharing.</p> <p>Institutional record keeping and information sharing.</p> <p>Demonstrates that institutional requirements for LEG’s review of contracts have been met.</p> <p>Demonstrates that institutional requirements for review and endorsement have been met.</p> <p>Demonstrates that institutional requirements for registration have been met.</p>



### Tool 3.2 Endorsement, Submission and Activation Checklist

*(for use primarily by the project developer)*

	Required	Recommended
<b>Project review and endorsement</b>		
Have you submitted the proposal to the Chief(s) of Mission or Regional Director?		
Has the Chief(s) of Mission or Regional Director confirmed approval by e-mail?		
Have you sent the proposal and the required approvals from the Chief(s) of Mission or Regional Director(s) to the Regional Office or relevant Division at Headquarters?		
Has the project endorser circulated the proposal to the relevant thematic network?		
Has an endorser been designated?		
Has the endorser determined if the IOM Regional Office in Brussels or CORMF is to be involved in the review and endorsement process?		
Has the endorser determined if a secondary review is required?		
Has the endorser responded in writing, either providing endorsement / approval for submission or detailing required improvements?		
If approved, has the endorser provided you with written endorsement?		
In cases in which a refusal to endorse has been contested, has the Regional Director been notified?		

	Required	Recommended
In cases in which the Regional Director has been notified of a contested refusal to endorse, has the Regional Director made the final decision in consultation with the relevant Chief(s) of Mission?		
In cases in which the refusal to endorse is related to inconsistency with IOM's mandate, has the Regional Director consulted with Headquarters for guidance?		
If the proposal received approval for submission and was subsequently funded, have you transferred the proposal into the IOM proposal template?		

<b>From submission to project approval by the donor</b>		
If the project is endorsed, have you registered it with PIU?		
Has PIU uploaded the project documentation into the Intranet?		
Have you coordinated with the Regional Office and DRD to determine appropriate submission procedures?		
Has the proposal been submitted following the appropriate procedures that have been agreed upon with the donor?		
Have the submission documents been shared with the Chief(s) of Mission or Regional Director, Regional Office, and Project Manager, if relevant?		
Have you updated the Regional Office on any changes to the proposal documents following submission to the donor?		

	Required	Recommended
In the case of significant revision, have you obtained re-endorsement?		
If a re-endorsement was required, have you shared the new submission documents with the Chief(s) of Mission or Regional Director, Regional Office, and Project Manager, if relevant?		
Have you sent agreement documents to LEG well in advance of the signature date deadline?		
Have you obtained LEG's clearance of the contract before a signature and an approval code were provided?		

#### Hand over to the Project Manager and project activation

Have you handed over the project to the Project Manager or the Chief of Mission or Regional Director or his or her delegate via e-mail?		
Have you completed the PARF and forwarded it with all required documentation to the resource management staff?		
Has the resource management staff reviewed the PARF and all required documentation and sent them to the PIU?		
Has the PRISM Central Support Team activated the project and released the PRISM project identification?		

	Required	Recommended
<b>Project information management</b>		
Have you submitted the appropriate documentation to the project endorser?		
Have you submitted the appropriate documentation to the PIU for registration?		
Has the resource management staff submitted the appropriate documentation to accompany the PARF?		

## List of Resources

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### **IOM documents and resources**

#### **IOM bulletins, instructions, and manuals**

- IB/51: IOM Overhead Policy
- IN/162: Project Activation Request Procedure

#### **IOM forms and templates**

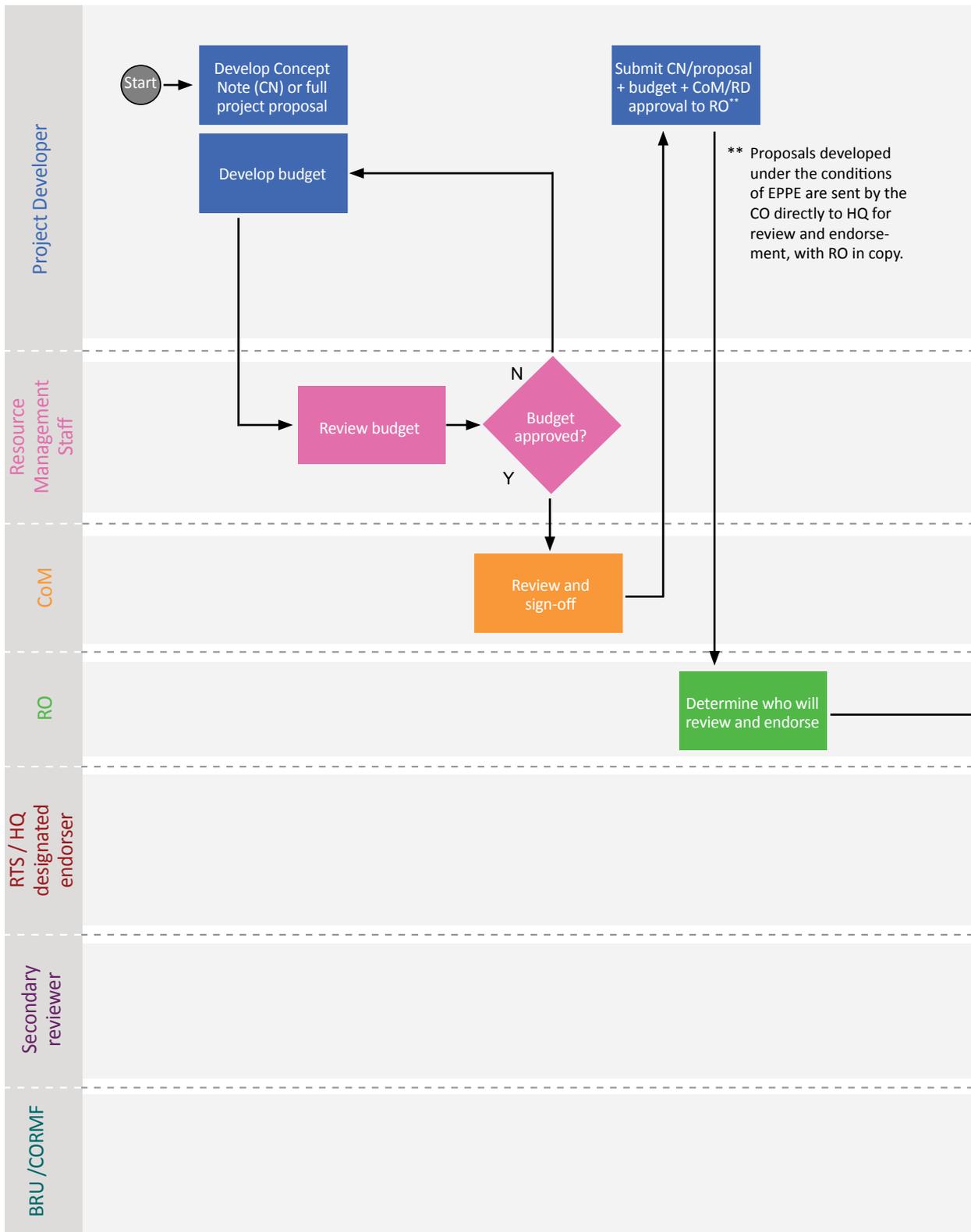
- IOM budget template
- IOM proposal template
- EPPE Proposed Template
- LEG-A.1: Model donor agreement
- Project Activation Request Form

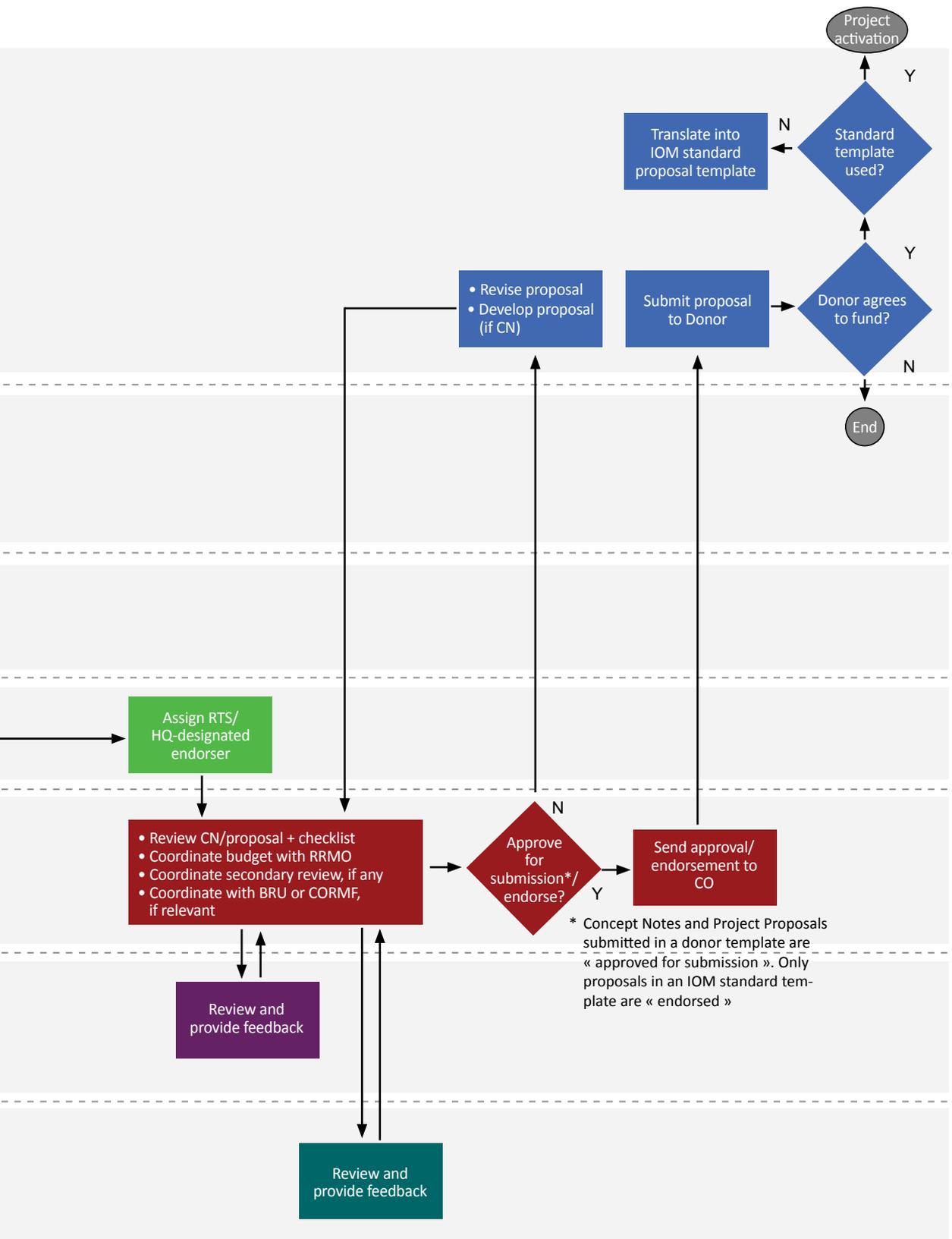
#### **IOM reference materials and thematic guidelines**

- MC/2216: IOM Strategy: Report of the Chairperson, annex, part 1.

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## Annex 3.1 Proposal Development to Endorsement





## Annex 3.2 Project Review Checklist

*This checklist has been designed for use primarily by the endorser as a means of endorsing or approving for submission an IOM project. The checklist can also be used by the project developer as a guide to what elements are fundamental to the review process.*

*Nevertheless, as a tool, this checklist cannot provide guidance in all cases of review and endorsement. It is at the discretion of the endorser to endorse (or not) a proposal based on his/her area of thematic expertise.*

*As a good practice, the endorser may attach this checklist in the email response to the project developer in conjunction with a cover email, and specific comments enclosed in the track comment and change mode in the proposal.*

**Endorsement** is the written authorization provided by the Regional Thematic Specialist or the Headquarters-designated endorser confirming that the project proposal

- is consistent with the IOM mission, Constitution, and 12-point strategy; IOM's policies, instructions, and guidelines; and any relevant national or regional strategies;
- is relevant and technically sound, taking into account good practices in the relevant migration area(s), and is feasible within the proposed budget and time frame;
- has been developed following IOM's project development procedures;
- is presented in the IOM proposal template.

**Approval for submission** is the written authorization from the designated IOM official confirming that a project proposal presented in a template that is different from the IOM proposal template satisfies donor requirements and

- is consistent with the IOM mission, Constitution, and 12-point strategy; IOM's policies, instructions, and guidelines; and any relevant national or regional strategies;

- is relevant and technically sound, taking into account good practices in the relevant migration area(s), and is feasible within the proposed budget and time frame;
- has been developed following IOM’s project development procedures.

Refer to Module Two to check the circumstances in which approval for submission is granted instead of endorsement.

**Section A:** Is the proposed project consistent with the IOM mission, Constitution, and 12-point strategy, IOM’s policies, instructions, and guidelines, and any relevant national or regional strategies?

*In this section, indicate if the project proposal is in line with IOM mission, Constitution, strategies, policies, instructions, and guidelines. If not, indicate the changes required for the proposal to fall in line. If you are in doubt, check existing guidance notes and similar projects, and, if still in doubt, consult Headquarters. Do not endorse a proposal that clearly goes against Headquarters guidelines.*

	Yes	No
The proposed project has a clear link to IOM’s 12-point strategy.		
The proposed project is in line with IOM’s policy instructions, guidelines, and strategies.		
The proposed project is in line with IOM’s relevant regional and country strategy or strategies.		
The proposed project is in line with relevant in-country mechanisms such as the United Nations Development Assistance Framework, the Cluster System, or One UN.		
The proposal takes into account priorities of the host government, such as those in national strategies, policies, and plans.		

*Required revisions:*

*Recommended revisions:*

**Section B:** Is the proposed project relevant and technically sound, taking into account good practices in the relevant migration area(s), and feasible within the proposed budget and time frame?

*In this section, assess the strength of proposal's design, taking into account good practices in the relevant migration area(s). Both the narrative and the budget sections must be realistic, meaning that the duration and scale of the activities envisioned are feasible in terms of the capacity of IOM and/or implementing partners, of the time allocated for their completion, and of the budget allocated. Ensure that the budget section adequately reflects the activities described in the narrative section of the proposal and that sufficient budget is allocated. Consult with the Regional Resource Management Officer on budget issues, as required. In cases where more than one IOM office is involved, ensure that adequate budget has been allocated to each office. If necessary, indicate revisions that are required or recommended.*

	Yes	No
The proposed project responds to a specific need or opportunity that is clearly presented.		
The proposal described IOM's relevant expertise and experience.		
The objectives, outputs, outcomes, and activities address the specific need or opportunity, have been formulated adequately, and follow the vertical logic explained in Module Two.		
The indicators have been adequately formulated. They are specific, measurable, attainable, realistic, and time-bound.		
The duration of the proposed project is realistic and the activities can be completed within the lifetime of the project.		
The proposal includes monitoring and evaluation mechanisms.		
The role of IOM and other stakeholders is clearly defined in the proposal.		
The proposal includes a completed workplan.		
The workplan is realistic in the timing of activities and total time needed to complete the project.		
The proposal demonstrates that IOM and its implementing partners have the relevant capacity and expertise to implement the project should it be approved for funding.		

	Yes	No
Cross-cutting issues of human rights, gender, environmental sustainability, and sustainability have been appropriately mainstreamed into the project proposal, as relevant.		
The budget has been developed according to the IOM budget template and guidelines, and has been coordinated with the (Regional) Resource Management Officer.		
All staff costs required to manage the project, carry out the activities, and support project implementation have been factored into the budget.		
All office costs required to support project implementation have been factored into the proposal.		
The size of the budget is proportionate to the intended outcomes (as per coordination with (Regional) Resource Management Officer).		
The operational costs cover expenditures directly related to the implementation of project activities, including sufficient budgetary allocations to monitoring and evaluation activities.		
If the proposal is being designed to build upon an existing project, the activities and the resources allocated in the budget do not duplicate those that IOM has committed through ongoing projects.		
The ratio of staff and office costs to operational costs is reasonable and in line with IOM practices.		
Activities with financial implications that pertain to another IOM office or external stakeholder have been included, coordinated, and agreed to, including issues of overhead (based on email evidence provided by the project developer).		
Provide justification to, and seek approval from, ACO/DRM for any deviations from IOM's Member States-approved overhead rates, i.e. either 5% on total costs or 12% on staff and office costs.		
Exceptions to this requirement are the pre-established, higher rates agreed by the European Commission and among United Nations agencies.		

*Required revisions:*

*Recommended revisions:*

**Section C:** Has the project proposal been developed following IOM’s project development procedures?

*If the donor has provided a particular template or specific guidelines you must ensure that the proposal adheres to them. If the donor has provided evaluation guidelines describing how the proposal will be scored, refer to them when reviewing the project proposal.*

	Yes	No
The proposal follows the IOM proposal template (for endorsement) or a specific template or guidelines provided by the donor (for approval for submission).		
The proposal has been developed in English, French, or Spanish, used consistently throughout the document.		
The project proposal has been cleared by the Chief of Mission, coordinated with Resource Management Officer, and consulted with other IOM office (where relevant), and has a corresponding electronic sign off.		
The proposal has been coordinated with external project partners and/or stakeholders that have a role in the proposal (where relevant).		
The project foresees an evaluation. If not, adequate justification has been provided.		
If submitted to the European Union or Government of the United States, the project proposal has been shared with the relevant liaison offices for review.		
The proposed project is in line with objectives of the call (if applicable)		
If the proposal has multi-components, it has been shared with the relevant Regional Thematic Specialist to determine who takes the lead in endorsement.		
If co-funding is required, the proposal has been submitted to the Co-funding Group for review and approval.		
If applicable, are the plans to respond to co-funding requirements in place		

*Required revisions:*

*Recommended revisions:*

## Annex 3.3 EPPE Project Proposal Template

### [PROJECT TITLE]

Project Type:  
Project Sub-Type:  
Geographical Coverage:  
Executing Agency:  
Target Group:  
Partner(s):  
Management Site:  
Duration:  
Estimated Budget:

#### 1. Rationale (600 words maximum)

- (i) *What is the problem and why is it significant?*
- (ii) *Who are the Key Stakeholders?*

#### 2. Project Description (one page maximum)

- (i) *What is the project's objective?*
- (ii) *What are the project's outputs?*
- (iii) *What are the project's activities?*

#### 3. Partnerships and Coordination (350 words maximum)

*Describe the role and/or the key inputs of each of the main partners who will be involved in the implementation of the project.*

#### 4 Evaluation (optional – 350 words maximum)

*Indicate the type of evaluation that is considered most appropriate for the project proposed and explain reasons for choice of this type of evaluation. The cost for the proposed evaluation is to be included in the budget.*

#### 5 Workplan (optional – two pages maximum)

*Complete a basic workplan that includes the following information:*

- (i) When the main activities are expected to begin, how long they will last, and when they will be complete; and,*
- (ii) Which actors are responsible for or involved in the implementation of each of the main activities.*

Activities	Responsible unit	Time frame								
		Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9

#### 6. Budget Template

*Prepare a budget using the appropriate budget template.*

# Module 4

## PROJECT MANAGEMENT AND MONITORING



## Questions Answered in Module Four

- What is the project lifespan?
- As Project Manager, what are your tasks in each phase of the project lifespan?
- How do you build a project team? How do you monitor the team's performance?
- How do you manage the project in terms of time, risks, resources, and activities?
- What tools can assist you in monitoring the project's implementation?
- How do you close a project?

## INTRODUCTION TO MODULE FOUR

Read this Module if you are a Project Manager who is setting up a project and planning to manage the entire project from the start, through implementation to closure.

Typically, projects have four distinct, although somewhat overlapping, phases:

- project start-up
- project planning for implementation<sup>1</sup>
- project execution and monitoring
- project closure.



### Information

This Module follows directly from Module Three. By the time the processes and procedures described in Module Three are complete, the project is ready for implementation and management. Project management and monitoring form the basis for reporting, as described in Module Five, while the interim reporting processes are a feedback mechanism that can indicate adjustments that may need to be made to project implementation and management. Once the project management and monitoring processes described in Module Four are complete, the project is closed, and final reporting to the donor, as discussed in Module Five, begins.

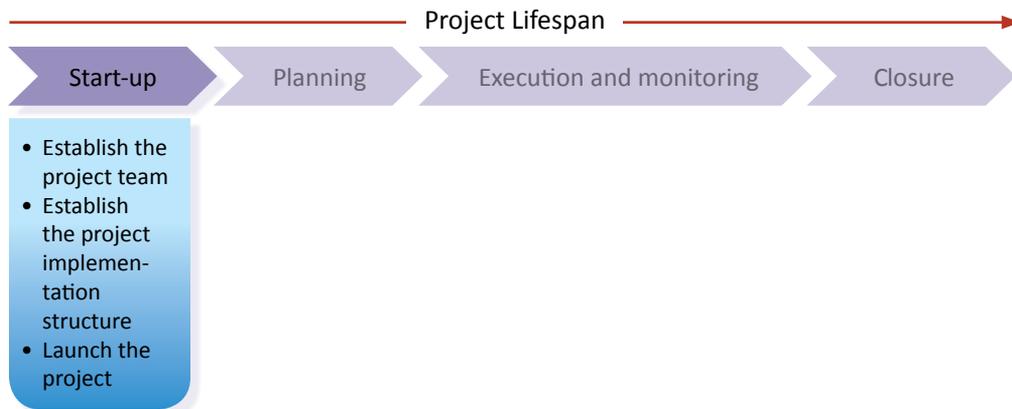


### Resource

Throughout this Module, reference is made to the most relevant IOM bulletins, instructions, and manuals, all of which are available on the IOM Intranet. This Module does not intend to replace the IOM Intranet portal as the primary source of information for up-to-date institutional documentation, and Project Managers are responsible for ensuring that they are familiar with and in compliance with such documents.

<sup>1</sup> This should not be confused with the type of planning described in Module One. In Module One, the term planning is used in the context of conceptualizing a project proposal. In this Module, planning refers to the process of planning the execution of an existing, funded project.

## I. Project Start-up



Your work as Project Manager begins with the project's start-up. During this phase the key steps are:

- establishing the project team
- establishing the project implementation structure
- launching the project

### I.1 Step One: Establish the Project Team

During this first step of project implementation, you will establish the project team. In this section, the recruitment procedures and the roles of various other actors in these procedures are explained in depth.

No matter the size of the project, you will need to consider the various staff required for the success of the project. IOM has a number of general and specific guidelines and procedures for the recruitment of staff. In this section, you will find information about these guidelines and procedures, along with other information that may be important in determining staff recruitment. Please be aware that following the guidelines and procedures is mandatory.

During project development (the first three Modules), significant discussion has gone into what staff are needed to manage and implement the project. This included the number of staff (both international and national), the staff's projectization rates, the duration of the contracts, and the contract types.

One of your most important tasks as Project Manager is to ensure that the recruitment of human resources is in line with the project budget. The budget should be reviewed together with the resource management staff during project start-up. If adjustments to the budget are required, these should be made together with resource management staff.

All staff recruitment and selection procedures are to be undertaken in compliance with IOM instructions, the most relevant being:

- IN/25: Guidelines on Recruitment and Selection of Short-term Professional Staff
- IN/161: Close Relatives in the Workplace
- IN/164: REV 1 – IOM's Policy on Contracts.

All staff are to be aware of and comply with IOM's Staff Regulations and Rules for international and national staff.



### Resource

Local Staff Regulations and Rules are available through the Human Resource Officer (HRO) or resource management staff. Current information on Staff Regulations and Rules for Officials and for Employees at Geneva are available on the IOM Intranet.



### Information

IOM staff must always conduct themselves in a manner consistent with IN/15: Standards of Conduct. All staff should be familiar with IN/90: Policy for a Respectful Working Environment.

The recruitment of staff should take into account the gender balance in the project team, the IOM office, and the region in order to contribute to the achievement of the gender balance target as set out in MA/60: GIC Guidelines on Implementing IOM Staffing Policy on Gender Issues. In practical terms, this implies that, in situations when you are faced with two fully qualified candidates, preference is given to the one whose gender is underrepresented in the project, the IOM office, or the region. Coordinate with the resource management staff for current information on the gender balance.



### Resource

More information on gender and staffing issues can be obtained from the Gender Coordination Unit at [genderissues@iom.int](mailto:genderissues@iom.int).

The terms of reference (TORs) for all operational staff assigned to the project must be developed using the IOM generic terms of reference template, which can be downloaded from the PRISM Manager Self-service page, as shown in Figure 4.1.



### Information

The relevant Division at Headquarters may also provide input for TORs, recommend suitable candidates, or participate in the selection process.

**Figure 4.1: How to Download TOR Templates from PRISM**

The screenshot shows the PRISM Manager Self-service interface. The top navigation bar includes 'MIS Overview', 'Employee Review', 'Recruitment', and 'Reporting'. A 'Detailed Navigation' sidebar on the left lists 'Recruitment', 'Guidelines', and 'TOR Templates'. The main content area features a welcome message and four functional blocks: 'Requisitions', 'Candidate Selection', 'Reporting', and 'Personal Settings'. Red arrows point from the 'TOR Templates' link in the sidebar to a callout box, and from the 'Recruitment' link in the main content area to another callout box.

You can download the useful guidelines, sample terms of references here.

Recruitment  
Access to e-Recruitment as manager.  
If you want to search vacancies and apply go to Employee Self-Service>Career tab

If a new position is being created, TORs must be classified by the Human Resource Management Division (HRM).

### 1.1.a Main Staff Categories

There are different types of staff that can be recruited depending on the specific need of the project. The two categories are:

- International staff
- National staff

You will find information on these different types of staff in this section. There is a brief explanation about who falls under each category, what type of work they can undertake, and the procedures to follow for their recruitment.

### *International Staff*

IOM is broadly guided by the job classification standards of the United Nations International Civil Service Commission for International Staff, also referred to as “Officials”. The IOM job architecture defines specific behavioural and technical competency indicators that staff members are expected to exhibit in the execution of their responsibilities. The architecture follows International Civil Service Commission standards and United Nations grading concepts while adapting them to the needs of IOM.



#### Resource

For more information on the United Nations International Civil Service Commission, [www.icsc.un.org](http://www.icsc.un.org)

International staff are recruited for work that is analytical, evaluative, conceptual, interpretative, and/or creative and that requires the application of the basic principles of theoretical knowledge, such as a field of science, learning, or specialized discipline. The work also involves international responsibilities, a certain level of difficulty and complexity, and at least a first level university degree or equivalent.



#### Resource

Contact HRM at [rec@iom.int](mailto:rec@iom.int) for further guidance and assistance in recruiting international staff.

In coordination with the resource management staff and under the overall guidance of the Chief of Mission or Regional Director, you are to follow the instructions in the e-Recruitment Manager’s Guide, which provides guidance on how to prepare TORs for a new position, prepare a requisition and forward it to HRM for action, undertake the selection process, complete the required documentation, track the status of the requisition, and search for appropriate candidates.

### *National Staff*

National staff are nationals or non-nationals legally residing in the country where the IOM office is situated.

National staff are locally recruited nationals or non-nationals of the country in which they are hired by IOM.

National staff in the General Service category are recruited for work that is procedural, operational, or technical in nature and that supports the execution of IOM's programmes. The work ranges from simple, routine, or repetitive duties based on following detailed instructions, to varied and complex assignments.

National staff are recruited by the HR Officer or the resource management staff with the support of the Panama Administrative Centre (PAC), which is responsible for issues related to locally hired personnel, including:

- general support and guidance in personnel administration
- guidance in IOM human resource practices, policies, and rules
- assistance in the implementation of Staff Regulations and Rules
- reviewing, calculating, and authorizing terminal emoluments, promotions, salary scales, and insurance matters
- job classifications
- monitoring compliance with medical exam requirements
- gathering and monitoring monthly staff statistics.

The other category of National staff are National Professional Officers (NPO). NPOs should be nationals of the country in which they are hired by IOM who have (a) good knowledge of, and experience in, the culture and traditions of their country, (b) a university, preferably post-graduate, degree in the relevant field of expertise, and (c) proficiency in the working language of the Country Office and in the local language(s).

The purposes of the NPO category are to:

- complement the knowledge and experience of international staff with national technical competence on migration issues and administrative management;
- provide Country Offices with knowledge of the local context, including the policy, economy, culture, and language, as well as the functions and procedures of the host government's machinery, thus enhancing the effectiveness of IOM programmes;



### Resource

For assistance in recruiting National staff, contact HRO or the Resource Management Officer, or the Panama Administrative Centre (PAC) at [PAC-Recruitment@iom.int](mailto:PAC-Recruitment@iom.int)

- provide the continuity and institutional memory needed by Country Offices, in view of the rotational assignments of international staff;
- provide Country Offices with professional staff where international staff vacancies are not planned, due to either financial constraints or an irregular political environment;
- recruit and retain national talents while identifying potential international professional staff.

National Professional Officers are hired locally in coordination with the Regional Office, as follows:

- for positions of one year or more, vacancy notices are to be prepared by the Country Office following the general procedures of fixed-term positions;
- the vacancy notice is to be circulated both internally within the Country Office and externally within the country;
- IOM staff who are nationals of the country must be informed that National Professional Officer positions are available within their country of origin;
- short-listed candidates are to be screened and cleared by the Chief of Mission or Regional Director and the direct supervisor;
- a final recommendation is to be presented to the Regional Office, which will select the most suitable candidate.

In exceptional cases, General Service staff may be promoted to the National Professional Officer category, provided that the staff member meets the criteria and that a National Professional Officer position is available. For such cases, advertisement may be waived, and the following procedures followed:

- the recommendation for promotion, including a thorough evaluation of the candidate, is made by the Country Office to HRM through the Regional Office;
- HRM will seek guidance and advice from the relevant units at Headquarters.



### Resource

The recruitment of National Professional Officers is to follow the instructions provided in IN/8: IOM National Professional Officers Programme Rules and Procedures.

Promotions to the higher levels of the National Professional Officer category are to be implemented in coordination with Headquarters. Such recommendations are to be made through the Regional Office and sent to HRM.

All staff and agents (such as consultants or research entities acting on behalf of IOM) are bound by confidentiality and should sign confidentiality agreements when handling the personal data of beneficiaries (a sample confidentiality template is available on the IOM Intranet).

### 1.1.b Contract Types

IOM staff members are usually appointed to one of the following contract types:

- **Special short-term (SST)**  
SST contracts are issued to staff appointed for short periods of time. SST contracts have a maximum length of nine months, renewable, and are subject to the conditions of service and to the entitlements stipulated in the contract.
- **Fixed-term (FT)**  
FT contracts may be issued for one year (OYFT) and two years (TYFT): Staff who receive these contracts are usually selected through a 1-year vacancy notice.

**Special Fixed-term (SFT)** contracts are subject to Staff Regulations and Rules (SRR) and are issued for a minimum of 6 months and a maximum of 9 months, renewable. SFT contracts cannot be issued upon first appointment but result from the conversion of a Grade Equivalent SST.

The types of contracts that may be used when hiring project staff, and the type of contract to be awarded depends on a number of factors, including funding levels and the duration of the project. This decision is to be made in consultation with HRM or PAC and with the IOM office's resource management staff (who will be requested to provide sources of funding for the contract), and in compliance with IN/164: REV 1 – IOM's Policy on Contracts.



#### Resource

IOM maintains a roster system of qualified candidates with various competencies. Contact HRM at [rec@iom.int](mailto:rec@iom.int) for assistance in searching for a suitable candidate.



### Information

Keep in mind that contracts may be issued for only the period of time for which funding is guaranteed. Discuss projectization rates with resource management staff if the costs of a staff contract are being projectized to more than one project.

## I.1.c Other Types of Human Resources

There are a number of other categories of human resources, which include:

- consultants
- Associate Experts
- interns and gratis personnel.

### *Consultants*

A consultant is defined by IOM as a recognized authority or specialist in a specific field who is recruited under a temporary contract in an advisory or consultative capacity to the Organization.

Consultants may be hired under certain conditions. Consultants are to have special skills not normally possessed by the regular staff of the Organization. Consultancy contracts are to be no longer than six months, and there are to be no more than two consecutive consultancy contracts issued. The functions of the consultant are results-oriented.

The instructions provided in IN/84: Guidelines for Selection and Employment of Consultants are to be followed when recruiting consultants. This instruction contains forms and templates that must be completed when contracting a consultant.

## *Associate Experts*

IOM is a member of the Associate Expert Programme, which provides recent graduates with an opportunity to learn first-hand about international development aid and to gain experience for potential future employment with international organizations. Associate Experts are sponsored by their governments.

## *Interns and Gratis Personnel*

There is also the potential to assign interns or gratis personnel to a project.

## **1.2 Step Two: Establishing the Project Implementation Structure**

Once staff have been selected, establish an internal management mechanism. This mechanism provides an overview of project staff and their communication with you and others regarding the project's implementation.

As Project Manager, the day-to-day management of the project is your responsibility. Ensure that IOM staff working on the project communicate on a regular basis regarding the implementation of the project activities.

You must also ensure that the appropriate coordination takes place between project staff, whose primary responsibilities are related to the implementation of the project activities, and other staff in the office, who have responsibilities related to the management of the office. Establishing internal management mechanisms is very useful in doing so.



### Resource

For further information on Associate Experts, see MA/87: Supervision of Associate Experts.



### Resource

Refer to IN/19: Guidelines for Internships at Headquarters and Field Missions, and IN/58: Guidelines on Gratis Personnel.

It is useful to design an organizational chart of the staff involved in the project, their titles, and reporting lines, particularly for large-scale projects with multiple activities and staff. It may also be useful to establish common archiving spaces for the project team in order to provide access to all relevant information regarding the project.

**Figure 4.2: Example of an Organizational Chart**



Tool 4.1 demonstrates some of the key matters that must be coordinated with other Departments and Units. The checkmarks indicate primary but not necessarily exclusive responsibility.



### Tool 4.1 Internal Coordination in Project Implementation

	Chief of Mission or Regional Director	Resource Management Staff	Project Manager	HRO/HRM	Procurement Officer
Recruitment of project staff					
Compliance with recruitment procedures					
Day-to-day supervision of project staff					
Day-to-day implementation of project					
Administrative oversight of project					
Project management, monitoring, and closure					
Overall strategic guidance and direction					
Monitoring receipt of income and preparing requests for payment					
Initiation of operational project expenditures					
Utilization of budget for shared costs					
Procurement of goods and services					
Asset management					
Preparation of financial reports					
Regular financial monitoring					
Guidance on and oversight of resources and expenditures					
Respond to queries and feedback from the designated report reviewer					
Submission of financial and narrative reports to donors					



### Information

To support project implementation, it may be useful to set up a steering committee, which can provide guidance on overall strategic direction. Such committees are likely to be required only for larger scale, multi-component, or multi-agency projects. Steering committees can be composed of IOM staff but they can also include external stakeholders, such as donors, government representatives, academics, and beneficiaries.



### Tips

#### **Good Practice:**

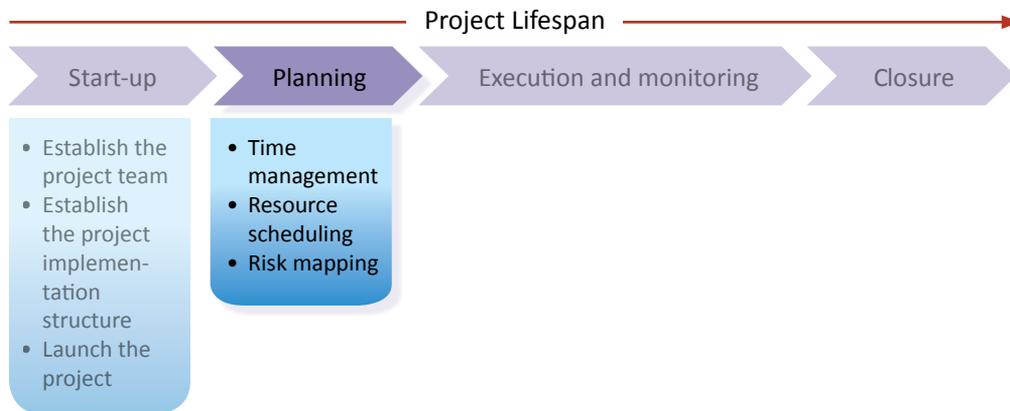
#### **Project launch**

A project launch is a good way to raise the visibility of the project and the donor's contribution. Consider involving key stakeholders and donors in planning the project launch.

## I.3 Step Three: Launch the Project

To formally announce that a project will begin, it may be beneficial to have a project launch. There are many different ways to launch a project, such as issuing an IOM press briefing note, holding a press conference or an inception workshop, issuing letters to key stakeholders, donors, and counterparts, or a combination of such methods. The main purpose of the launch is to inform the project stakeholders that the project has started, as well as to raise the profile and visibility of the project, IOM, and the donor's contribution.

## II. PROJECT PLANNING FOR IMPLEMENTATION



The second main phase in the project lifespan is project planning. In this phase, the project team develops detailed plans, the purpose of which is to ensure that the project activities are completed on schedule and on budget. Appropriate planning helps to ensure that the project is implemented in an effective and efficient way.

The planning referred to in this phase is different from the planning discussed in Module One. This planning phase takes place once the project has been approved. It is required at this stage and specific to the actual execution of a funded project. The planning phase in Module One refers to planning for a project to be potentially funded.

This section describes three main categories of project execution planning procedures that can be used by the project team. Each category is supplemented by practical tools. The three categories are:

- time management planning
- resource scheduling
- risk management planning.

## II.1 Step One: Time Management Planning

The time management plan is a more detailed and reviewed version of the general workplan described in Module Two. The general workplan is based on the activities indicated in the Results Matrix, as described in Module Two.

The time management plan is a useful management tool as it allows you to break down the project into concrete activities and to allocate time to each activity. This provides an overview of the time needed to complete each project activity and the project as a whole. Depending on the approach chosen, you can also have an overview of the sequence of activities during the project.

There are a number of common approaches to developing a sufficiently detailed tool to guide time management in scheduling project activities. It is at your discretion to determine what type of time management plan to use. Two of the most common types of plans will be discussed here:

- activity planning and Gantt chart approach (used together)
- critical path method (CPM).

### II.1.a Activity Planning and Gantt Chart Approach

Activity planning is a method for identifying the main components or phases of a project and for breaking them down into concrete tasks. This breakdown can then be used as the basis for a Gantt chart, which is a bar chart demonstrating the timelines for accomplishing the tasks for each activity. One of the benefits of the Gantt chart is that it provides a simple and clear overview of all of the project's activities, allowing the project team and project stakeholders to have an overall view of the time frames necessary for project completion.

Table 4.1 is an example of both an activity plan and a Gantt chart. The activity plan is on the left. It breaks down the phases of a project (start-up, planning, execution, and closure) into the concrete tasks to be accomplished. The bar chart on the right demonstrates when each step will be taken. Gantt charts are frequently prepared in Microsoft Office programmes such as Excel spreadsheets.

**Table 4.1: Example of an Activity Plan and a Gantt Chart**

Activity
<b>1.0 Project Start Up</b>
1.1 Establishing the project team
1.2 Establishing the project implementation structure
1.3 Project launch
<b>2.0 Project planning for implementation</b>
2.1 Time management planning
2.2 Resource scheduling
2.3 Risk management planning
<b>3.0 Project execution and monitoring</b>
3.1 Outcome 1: Improved national legal and regulatory framework increases protection of migrants
3.1.1 Hold sensitization workshop
3.1.2 Prepare draft law
3.1.3 Hold validation workshop
3.1.4 Hold training workshop
3.2 Outcome 2: Migrants demonstrate greater willingness to assert their rights in a legal manner due to increased levels of awareness
3.2.1 Hire consultant
3.2.2 Design, draft, translate, and produce booklets
3.2.3 Identify and consult with migrant community leaders
3.2.4 Conduct training of trainer workshop for migrant community leaders
<b>4.0 Project Closure</b>
4.1 Project Accounts Closure (to zero-balance the project)
4.2 Asset disposal

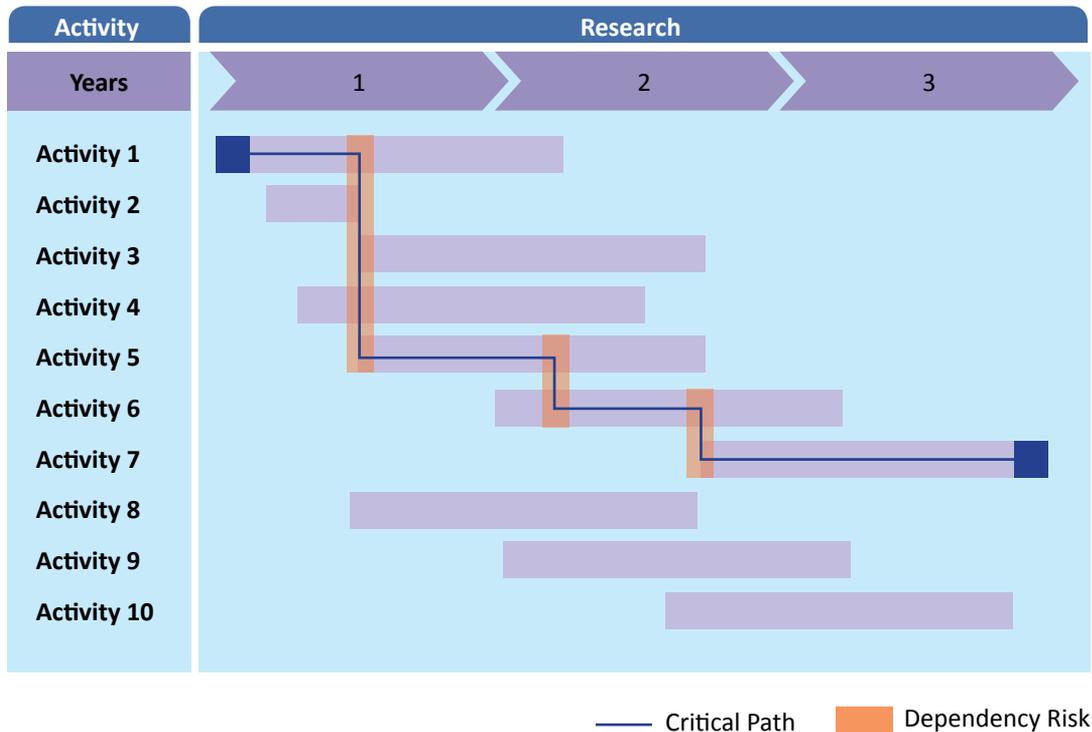


### II.1.b Critical Path Method (CPM)

A second method for time management is CPM. In CPM, the main project activities are identified and the timelines established (as with the activity planning and Gantt chart approach). The main difference is that CPM also identifies which activities must be completed before additional activities can follow.

For example, some projects have an information gathering phase, such as research or a needs assessment, as the first activity. Once the information is gathered, it is used to refine and inform the subsequent project components. If the information gathering is delayed, all other following activities will be delayed as well. By identifying which activities must logically come before other activities, you can identify the “critical” activities that must be implemented in a timely manner. By thinking through and mapping out all the steps that need to be taken in sequence, you can chart the “path” the project will follow. See Figure 4.3 for a generic example of a CPM analysis.

**Figure 4.3: Example of a CPM Analysis**



Adapted from [http://www.generationcp.org/pdg/?page\\_id=16](http://www.generationcp.org/pdg/?page_id=16)

## II.2 Step Two: Resource Scheduling and Financial Planning



### Tips

#### Good Practice:

#### Sharing resource and financial plans with resource management staff and Procurement Officers

Resource management staff and Procurement Officers often benefit from having a clear understanding of the needs of the different projects in the office. Sharing the resource plans with them can assist in ensuring that the needs of all projects in the office are met in a timely and efficient manner.

Once the project activities and sub-activities have been time sequenced, it is useful to conduct a similar sequencing exercise for the resources and finances needed to conduct the activities and tasks.

Mapping out the type and amount of resources needed at each stage of the project helps the project team to organize and prioritize their work.

By using Table 4.2, you, the project team, the resource management staff, and donor can have a clear understanding of the financial needs of the project at the different stages of implementation.

The general parameters for resources, such as the number of staff and the project budget, have by this time been established; however, these resources must now be mobilized and specifically allocated to activities and tasks. Some of the main considerations in this process include:

- (a) the types of resources required, such as labour, equipment, supplies and materials, and office space; and
- (b) the specifications and quantities of resources needed.

Once a detailed plan of the resources needed is complete, a schedule can be drawn up, indicating at which stage in the project the resources are needed. For example, computers and other office equipment for project staff are usually needed at project start-up, and the procurement process for these items should therefore begin immediately. Conversely, some project resources may be required only in a later phases of the project. For example, if an awareness-raising campaign is planned for the third quarter of the project, the resources required for these activities are needed at a later stage.

**Table 4.2: Example of Resource Scheduling**

Resource schedule	Task	Human resources	Financial resources	Supplies and materials
1st quarter	Office set-up	Project Assistant and Procurement Officer	Payments for equipment and supplies	Computers, furniture, communications equipment, supplies
2nd quarter	Technical assistance for drafting legislation	Consultant	Payments for consultant and supplies	Venues for meetings, meeting supplies, publications
3rd quarter	Public information campaign	Project staff, graphic designer, drivers for distribution	Payments for graphic designer, publication and distribution of materials	Public information materials, vehicles
4th quarter	Capacity-building workshops	Project staff, expert	Payments for air travel, daily subsistence allowance, venues, supplies and materials	Venues for workshops, conference services, workshop materials

## II.3 Step Three: Risk Mapping

In the situation analysis phase of conceptualization (Module One), an effort was made to identify the different factors that might affect your project as well as their possible effects. This has been done primarily from an “external” perspective. The PESTLE, included in Module One, has been included as a tool to facilitate the analysis of those factors. In subsequent steps, such as the Problem and Results Tree (Module One), and Results Matrix (Module Two), these factors were included in the project design. In the Results Matrix, some of these factors were incorporated into the assumptions column. Recall that assumptions are formulated at the activities, outputs, and outcomes levels. At the activities level, if one of the assumptions is not fulfilled, the relevant activity may not lead to a subsequent output. At the output level, if an assumption is not fulfilled, the subsequent outcome may be affected. Risks are those factors which could potentially hinder the achievement of the results.

At this point, you should start thinking about the factors that were missed during the development of the project or could have changed from the conceptualization and development of the proposal and might still affect the project. Due to this reason, you should list those factors and incorporate them later in the Risk Management Tool (see Section on Risk Management and Response) to plan for and manage the previously identified risks.

Risk management is the process of:

- identifying, analysing, and prioritizing risks;
- taking steps to reduce the likelihood and impact of such events happening, to the extent possible;
- monitoring pre-defined risks and assumptions continuously throughout the project implementation.

Risks are mainly context and region specific. Risk management plans draw on in-country expertise, local knowledge and the local operating environment, and pattern analysis. They can draw on experiences from previous projects and from similar situations. In Modules One and Two, the project developer identified risks and assumptions and did an initial assessment of these. At this stage of project implementation, you should

consider how to manage the risks identified. This can be done by completing the Risk Management Tool (see section on Risk Management and Response in Section III.2.c).

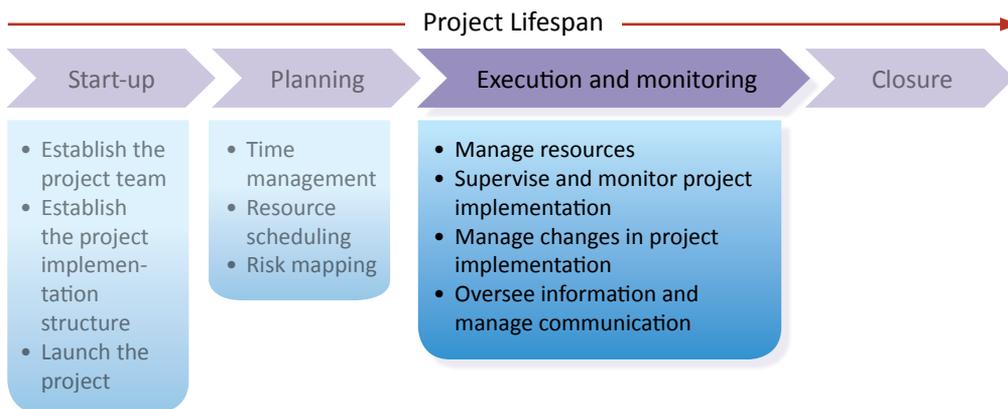
Go through the previously identified generic risk areas and, together with the project team, elaborate the Risk Management Tool.



### Information

Although you have already considered and assessed risks at various stages of planning, it is beneficial to revisit your prior analyses. This will be the start of the monitoring process.

## III. PROJECT EXECUTION AND MONITORING



Once the appropriate implementation planning processes are complete, the execution of the project's activities can begin. The implementation of a project should closely follow the logic of the project document's Results Matrix.

As Project Manager, your primary responsibilities are to:

- manage the project's resources effectively
- supervise and monitor project implementation
- manage changes in project implementation
- oversee information and manage communication.

## III.1 Resource Management

There are many different types of resources that are utilized in the implementation of a project. Your task will focus on managing the following resources:

- human resources
- financial resources
- contracts.

### III.1.a Human Resource Management

Human resource management requires various management skills and responsibilities, including the following:

- team leadership
- effective communication
- work ethic and effective time management
- respect towards staff
- staff development and training
- Staff Evaluation System (SES)
- IOM standards and procedures.

#### *Team Leadership*

The selection of qualified project staff is only the first step in human resource management. As Project Manager, you must also direct, lead, and motivate members of the team so that they perform in a unified and consistent manner. The team is likely to include individuals with different skill sets, backgrounds, and levels of experience in project implementation. Furthermore, IOM staff frequently implement a diverse range of projects and activities in different thematic areas over the course of their careers. An effective Project Manager identifies ways to maximize the background and skillsets of the various team members.

## ***Effective Communication***

Effective communication is an important skill; regular staff meetings, effective e-mail exchanges, and face-to-face discussions with all colleagues help to keep everyone updated on all elements of the project, to identify and resolve common problems, and to ensure that everyone is part of a team. As Project Manager, you should regularly provide the Chief of Mission or Regional Director and resource management staff with updates and report any difficulties or challenges. IOM considers the following behaviours as indicative of good communication:

- actively sharing relevant information;
- clearly communicating, and listening to feedback on, changing priorities and procedures;
- writing clearly and effectively, adapting wording and style to the intended audience;
- listening effectively and communicating clearly, adapting delivery to the intended audience.

## ***Work Ethic and Effective Time Management***

A strong work ethic and a favourable work environment will also help to increase productivity and effectiveness within the team. You should ensure effective time management, and delegate tasks and responsibilities when appropriate. While different individuals respond to different types of management, praise and appreciation of work are generally conducive to a favourable work environment. Colleagues should be encouraged to take their holidays and to work within the official working hours and working week.

## ***Respect Towards Staff***

All IOM colleagues are entitled to pursue their duties in a respectful workplace, regardless of their role or position in the Organization. All staff members are expected to treat their colleagues with respect and dignity, as well as to incorporate gender-related needs and perspectives, and promote equal gender participation. Senior-level staff are held account-



### **Resource**

Refer to IN/90: Policy for a Respectful Working Environment.

able for creating a respectful office environment free of harassment and retaliation, and for promoting the prevention of sexual exploitation and abuse. Any form of harassment is unacceptable and should be reported immediately to the supervisor or, if not appropriate, to the next level of supervision.



### Information

IOM staff should be aware that, in the case of disputes, IOM has a full-time Ombudsperson, who is located at Headquarters. The Ombudsperson acts independently, impartially, and confidentially, advising staff members on any grievances related to the terms and conditions of employment and interpersonal relations.

The IOM Staff Association Committee promotes and safeguards the rights and defends the interests of persons in the employment of IOM, both collectively and individually. It does so particularly by promoting the improvement of conditions of employment, career development, and work and welfare in the widest sense. The SAC also focuses on job security, occupational health and safety, staff movements, the mobility policy, the special problems of staff in the Country Offices, job classification, recruitment, career policy, and equal opportunity. The SAC is meant to act as a channel of communication with the Administration on matters concerning staff and therefore shapes the working environment for staff as best as possible.



### Resource

More information on the Ombudsperson and the Staff Association Committee can be accessed on the IOM Intranet. The Ombudsperson can be contacted at [ombudsperson@iom.int](mailto:ombudsperson@iom.int), and the SAC can be contacted at [sacmbx@iom.int](mailto:sacmbx@iom.int).



### Resource

Contact Staff Development and Learning at [sdl@iom.int](mailto:sdl@iom.int) for support in achieving staff development and learning objectives.

## Staff Development and Training

One of the key ways in which you can ensure that staff develop and maintain the competencies required for the effective implementation of the project is through staff development and learning. While you may have a limited budget for staff training, it is good practice to try to identify and support staff members' participation in development and learning activities. The IOM Staff Development and Learning (SDL) website has information on internal and external training opportunities, and on procedures for participating in training.

## *Staff Evaluation System (SES)*

In order to ensure that the project team's actions contribute to the achievement of the project's results, it is necessary that you establish and monitor each individual staff member's performance levels. At IOM, this is accomplished through SES. The purposes of SES are (a) to provide a standardized framework for the evaluation of individual performance against objectives and competencies, (b) to promote and capture two-way communication between the staff member and the manager, (c) to help to identify high performance and address underperformance in an equitable manner, and (d) to provide a basis for well-founded strategic decisions on human resources.

Schedule regular meetings with individual members of the team, when possible, in order to discuss strengths, weaknesses, and performance. At the very least, three such meetings should formally take place over the course of the SES evaluation period; however, you are encouraged to provide performance feedback on an ongoing basis.

## *IOM Standards and Procedures*

As Project Manager, you must at all times ensure that your human resource management practices are in line with IOM standards and procedures. Consult with your resource management staff and HRO as required. Ensure that staff are well aware of their rights, duties, and entitlements as outlined in IOM's Staff Regulations and Rules. You are also encouraged to refer to IB/53: Quick Reference Guide for IOM's Human and Financial Management Policies and Instructions, and to become familiar with the documents included therein.



### Information

You can use the PRISM Manager Self-service functions for a variety of human resource management functions, such as reviewing employee information and downloading human resource reports.

### III.1.b Financial Resource Management

Financial resource management includes executing the budget in order to achieve the results of the project. Financial resource management is critical to the implementation of the project, to ensuring that the budget is expended in a timely manner, to ensuring transparency, and to ensuring the economy of expenditures.

#### *Budget Execution*

Budget execution is the process of initiating and authorizing the expenses on budget lines for the procurement of goods, works, and services. This process includes making sure that the expenses are:

- reasonable, that is, the costs reflect those that could be expected in the normal course of business;
- necessary for the completion of the project;
- eligible under the contribution agreement;
- incurred within the implementation period as stated in the contribution agreement.

#### *Procedures and Responsibilities for Procurement*

While you and the project staff are responsible for initiating purchase orders, IOM procedures require the involvement of procurement and finance staff in the procurement of goods and services and the authorization of expenditures



#### Information

The procurement of goods, works, and services must adhere to IOM's instructions. You must work together with colleagues in procurement and finance to ensure that these instructions are followed.

## Management of Assets

Once goods have been purchased, work together with your Procurement Officer to ensure the proper management of these assets. While some functions related to asset management are the direct responsibility of the Procurement Officer (such as tagging and coding the assets in accordance with the IOM standard asset coding system, and entering information on the asset into PRISM), you should be familiar with these procedures. You should also contribute to asset management, for example by ensuring that the project's assets are used in accordance with the established procedures, that assets are properly insured or otherwise safeguarded, and that assets are disposed of in accordance with donor's requirements and IOM's regulations.

### III.1.c Contract Management

#### Contract Negotiation

In most cases, goods, works, and services will be contracted by IOM during the implementation of a project. Negotiating the terms and conditions of contracts must be done based on the templates provided by the Office of Legal Affairs (LEG) in the case of service providers and HRM in the case of individuals.

All contracts for service providers are to be reviewed and approved by LEG prior to signature and prior to the commencement of the provision of any services.

#### Payment

Full payment for the goods, works, and services provided shall generally be made only after the completion of the goods/ services delivered in accordance with all the contract terms. In the case of contract termination due to the poor performance or non-performance of the service provider, IOM should pay for only the part of the service fee corresponding to the services completed in accordance with the contract terms. Advanced payments are discouraged as it undermines IOM's financial leverage in the event of non-performance. For exceptions, refer to the Accounting Division in Headquarters.



#### Resource

Refer to IN/73: Guidelines to the Differences between Individual and Service Provider Contracts.



#### Resource

IOM Model Agreements, including project implementation agreements and general service agreements may be downloaded from the Intranet (Intranet Home Page>Office of the Director General>Legal Affairs>Templates).



#### Resource

Contact LEG at [leg@iom.int](mailto:leg@iom.int) for assistance in managing contracts.

## *Monitoring Compliance with Contracts*

Once the contract is signed, contract management implies ensuring compliance with the terms and conditions of the contract, as well as documenting any changes and agreeing on any changes that may arise during implementation or execution. You must be fully aware of the provisions of all contracts related to the project.

At times, it may be necessary to make changes to the contract. This would require the agreement of both parties in writing. Coordinate with LEG on changes to contract documents.

If non-compliance with the terms and conditions of the contract is suspected or identified:

- Check the terms of the contract and the relevant supporting documentation. Identify exactly which provision of the contract or its annexes has not been implemented in full by the service provider.
- Report the situation to the Chief of Mission or Regional Director and resource management staff. If agreed, remind the service provider to comply in full with the contract terms and conditions and request in writing (for example, by e-mail) that the situation be rectified immediately, giving a reasonable timeline.
- In the case of non-delivery or inadequate delivery of services due to compelling reasons, IOM may agree to extend the timeline of delivery or reduce the scope of services after first discussing with the service providers. Any such change has to be agreed upon in writing by signing an amendment to the contract, which requires prior approval by LEG.
- If it is not possible to come to an agreement with the service provider, document the disagreement and ensure that there is evidence of the non-delivery or insufficient delivery in writing with evidence that IOM had tried to negotiate with the service provider. Such an arrangement should be coordinated with resource management staff.

- Under the standard contract based on the IOM service contract template, IOM always has the option to terminate the contract by giving written notice. If terminating the contract is considered the best way to move forward, contact LEG. LEG will draft a termination notice to be given to the service provider.
- Contact LEG at any stage above if you are uncertain about contract terms and conditions, if there is a complicated background and a conflict with the service provider is foreseen, or if there is a serious violation of the contract by the service provider and it requires immediate action by IOM.

### III.2 Supervise and Monitor Project Implementation



#### Definition

**Monitoring** is an established practice of internal oversight that provides management with an early indication of progress, or lack thereof, in the achievement of results, in both operational and financial activities.

Monitoring provides donors, partners, governments, and other stakeholders with clear, detailed information on the progress made towards the achievement of project results.

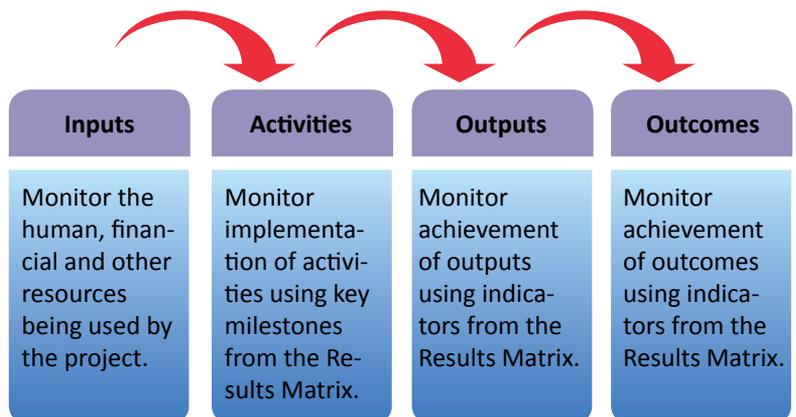
At the organizational level, monitoring enhances the effectiveness of the implementation of IOM projects and programmes by establishing clear links among past, present, and future activities and results. It helps IOM to learn from previous experience so that future programmes are improved. Monitoring is necessary for effective evaluation, which in turn promotes organizational learning and accountability, informed decision-making, and the increased effectiveness of the Organization as a whole.

Monitoring allows the project team to:

- document the process and progress of implementation which will yield information for donor reports
- track the achievement of results
- provide feedback to planning
- facilitate decision-making by management
- take remedial action, where necessary
- learn from experience.

Monitoring involves the oversight of what goes into the project (the resources or inputs) and what comes out of the project (the results). Different information is needed, depending on whether the inputs or the results are being monitored, as demonstrated in Figure 4.4.

**Figure 4.4: Monitoring Inputs and Results**



While the overall responsibility for monitoring lies with the Project Manager, there are various actors that have a role to play, depending again on what is being monitored. Together with the resource management staff, you are responsible for monitoring the use of resources. Ensure that the project budget is being utilized appropriately to achieve the project results, and the resource management staff records, tracks, and monitors the budget from a cost accounting perspective. The monitoring of results and activities, in addition to the project team, can involve third parties, stakeholders and project beneficiaries.

The use of monitoring plans, as described below, ensures that all members of the project team understand their role in monitoring results. Monitoring plans specify what is to be monitored, how the monitoring will be conducted, who will carry out the monitoring, when and how frequently the monitoring will be conducted, the methods that will be used for monitoring, and the resources that are required for monitoring.

### III.2.a Financial Monitoring Using PRISM

You can view financial reports in PRISM, which can present the project's financial information in various ways, depending on your needs. First, ensure that you have access to PRISM project reports by sending an email request, with the Chief of Mission or Regional Director and resource management staff in copy, to the PRISM Central Support Team ([PCST@iom.int](mailto:PCST@iom.int)). Next, familiarize yourself with PRISM using the resources available on the PRISM page (accessed via the IOM Intranet – Intranet>PRISM Login>Project Reports Catalogue). The PRISM Project Reports Matrix is a tool that will help you to access the various types of reports that can be used to monitor the project's budget, as shown in Figure 4.5.

**Figure 4.5: PRISM Project Reports Matrix**

**PRISM**

**Project Reports Matrix**  
(Click to use PROJECT REPORTS MATRIX to choose the right report)

**PROJECT REPORTS CATALOG**

- Budget Utilization/Consumption Reports
  - By Donor Structure (ZDSR)
  - By IOM Financial Structure (ZFI)
- Project Monitoring Reports
  - Project Monitoring Report (ZPMR)
  - Project Managers Monitoring Report (ZPMI)
- Line Item Reports
  - Budget Description Line Items (ZBI)
  - Project Actual Line Items (ZCI)
  - Project Commitment Line Items (ZCS)
- Structure Overview
  - Project Structures (ZSA)
- Other Reports and Materials

**Project Monitoring / Budget Consumption \*\***

	PROJECT STRUCTURE		DONOR STRUCTURE*		IOM FINANCIAL STRUCTURE **	
MISSION LEVEL REPORTS	ZPMI					ZFI
PROJECT LEVEL REPORTS	ZPMR	ZDSR	ZPMR	ZDSR		ZFI
LINE ITEM REPORTS	ZBI, ZCI, ZCS	ZI		ZI		

\*Donor Structure - applies when required by Donor and properly set up in the system.  
 \*\*IOM Financial Structure - used primarily for central reporting, according to IOM organizational structure, IOM budget categories and IOM chart of accounts.  
 To benefit from donor and project structure reports, it is important to have both structures set up accurately before the project is initiated.  
 \*\*Mission's management reports provide the latest available Balance, whereas Project Monitoring reports provide indicators of project performance.

For Project Managers, the most relevant type of reports are project level reports.

**Figure 4.6: Project Level Reports in the Project Reports Matrix**

	PROJECT STRUCTURE	DONOR STRUCTURE*	IOM FINANCIAL STRUCTURE**
MISSION LEVEL REPORTS	ZMMR		ZIM
PROJECT LEVEL REPORTS	ZPMR, ZOSH, ZPMF, ZOSH	ZIM	ZIM
LINE ITEM REPORTS	ZC-BS, C-BS	CI	CI

\*Donor Structure - applies when required by Donor and properly set up in the system.  
 \*\*IOM Financial Structure - used primarily for central reporting, according to IOM organizational structure, IOM budget categories and IOM chart of accounts.  
 To benefit from donor and project structure reports, it is important to have both structures set up accurately before the project is released.  
 \*\*\*Budget consumption reports provide the latest Available Balance, whereas Project Monitoring reports provide indicators of project performance.

Of the project level reports, project structure and donor structure reports are most relevant for Project Managers.

Click on the links for a description of the report and the information it provides. For example, by clicking on “ZPMR” in the project level report line, in the project structure column, the description in Figure 4.7 is shown.

**Tips**

**Good Practice:**  
**Monthly Review of Financial Reports**

It is necessary that you regularly review financial reports for your projects. The intervals at which you should review the reports vary depending on the size and complexity of the project. For large projects, monthly reviews are strongly recommended.

**Information**

Budget Consumption Reports provide the latest available balance, whereas Project Monitoring Reports provide indicators of project performance. The main difference between both types of reports is the way commitments are reported.

Project Monitoring Reports show the commitments on the month we expect to receive the goods. Asset commitment is not captured in these types of reports. Budget Consumption Reports, on the other hand, show the commitments on the date the Purchase Requests (PR) or Purchase Orders (PO) are created in PRISM. These reports show commitment of assets.

Once the month is closed, both reports should have the same amount showing as actuals but they will unlikely match in terms of commitments.

Figure 4.7: Project Monitoring Report

**Project Monitoring Report**  
[Back to PRISM Report Catalog](#)

**Tcode in SAP GUI:** ZPMR

**Purpose:**  
 To provide a basic view on a single project based on project structure and account codes. (To obtain the latest available balance refer to Donor Structure Report, Project Structure view - ZDSR)

**Questions it answers:**

- What is the amount fully expensed on the selected project and what is the breakdown by implementing missions?
- What is the amount of PR and PO expected to be delivered in the selected period?

**Distinctive Features:**

- Can be displayed at any level of WBS, inclusive at the level of account codes (level 6)

**Important Notes:**  
 It is mandatory to choose one of the following cost element groups: IOM (for projects started after 1st of January 2008) or IOM2 (for projects started before 1st of January 2008).  
 Contains fixed assets depreciation (does not contain fixed assets commitments and acquisitions). Does not contain staff travel and staff trips commitments.  
 Displays commitments at the expected delivery date, rather than at the PO and PR entry date.

**Project Monitoring Report**

Report: ZPMR  
 Report Group: ZPMR  
 Display: Standard  
 Date: 2010-01-01  
 Period: 2010-01-01 to 2010-12-31

**CLICK FOR FULL VIEW**

**RELEVANT MATERIALS:**

- [Project Monitoring Report Manual](#)
- [PRISM Portal Reports Manual](#)
- [PRISM Reports Navigation Manual](#)

**Run This Report**

This view also provides links to relevant resource materials.

To run the Project Monitoring Report (ZPMR) press the button “run this report”, fill in your Project ID and other relevant information and press “execute”. This way, you be able to download your Project Monitoring Report regularly and monitor expenditure, income, variance % etc. You will be able to view the budget at different WBS levels, according to what you need. i.e. Table 4.3 shows you a ZPMR using level 3 WBS lines. Table 4.4 shows you ZPMR with only level 5 WBS lines.

**Table 4.3: Project Monitoring Report (Level 3)**

Mission	Project Budget Line	Level	Text Description of the WBS	% Variance	Budget	Revenue	Expenses	Commitment	Exp + Comm	Variance Amt
VN10	CT.0467	1	Vietnam national reintegration model-VN1	N/A	0.00	-70000.00	0.00	0.00	0.00	0.00
VN10	CT.0467.VN10	2	Hanoi, VIET NAM	N/A	0.00	0.00	0.00	0.00	0.00	0.00
VN10	CT.0467.VN10.11	3	Staff Costs Local	98.69 %	4484.13	0.00	4425.35	0.00	4425.35	58.78
VN10	CT.0467.VN10.12	3	Office Costs	105.30 %	3764.00	0.00	3963.44	0.00	3963.44	-199.44
VN10	CT.0467.VN10.21	3	Reintegration Assistance	114.03 %	3554.85	0.00	4053.68	0.00	4053.68	-498.83
VN10	CT.0467.VN10.54	3	Technical Coop And Capacity Buildg	96.41 %	17940.50	0.00	17296.13	0.00	17296.13	644.37
VN10			OVERHEAD	99.98 %	1487.18	0.00	1486.92	0.00	1486.92	0.26
VN20	CT.0467.VN20	2	MISSION TOTAL	99.98 %	31230.66	-70000.00	31225.52	0.00	31225.52	5.14
VN20	CT.0467.VN20.11	3	Ho Chi Minh, VIET NAM	N/A	0.00	0.00	0.00	0.00	0.00	0.00
VN20	CT.0467.VN20.12	3	Staff Costs Local	100.04 %	14494.95	0.00	14500.08	0.00	14500.08	-5.13
VN20	CT.0467.VN20.21	3	Office Costs	100.00 %	853.04	0.00	853.04	0.00	853.04	0.00
VN20	CT.0467.VN20.54	3	Reintegration Assistance Awareness Raising Information Campaign	100.00 %	11628.00	0.00	11628.00	0.00	11628.00	0.00
VN20	CT.0467.VN20.50	3	Awareness Raising Information Campaign	100.00 %	5815.00	0.00	5815.01	0.00	5815.01	-0.01
VN20	CT.0467.VN20.54	3	Technical Coop And Capacity Buildg	100.00 %	4132.00	0.00	4131.96	0.00	4131.96	0.04
VN20			OVERHEAD	100.01 %	1846.15	0.00	1846.40	0.00	1846.40	-0.25
VN20			MISSION TOTAL	100.01 %	38769.14	0.00	38774.49	0.00	38774.49	-5.35
VN20			OVERHEAD ALL MISSIONS	100.00 %	3333.33	0.00	3333.32	0.00	3333.32	0.01
VN20			GRAND TOTAL	100.00 %	69999.80	-70000.00	70000.01	0.00	70000.01	-0.21

Table 4.4: Project Monitoring Report (Level 5)

Mission	WBS	Level	Text Description of the WBS	% Variance	Budget	Revenue	Expenses	Commitment	Exp + Comm	Variance Amt
VN10	CT.0467.VN10.11.02.002	5	Project Support L (HAN)	99.02%	4024.08	0.00	3984.45	0.00	3984.45	39.63
VN10	CT.0467.VN10.11.02.003	5	Project Support L (Acct supports)	95.84%	460.05	0.00	440.90	0.00	440.90	19.15
VN10	CT.0467.VN10.12.01.001	5	Building Office Premises O	100.00%	1800.00	0.00	1800.00	0.00	1800.00	0.00
VN10	CT.0467.VN10.12.02.002	5	Travel & Subsistence	110.17%	1694.00	0.00	1866.36	0.00	1866.36	-172.36
VN10	CT.0467.VN10.12.03.001	5	Communications O	124.57%	90.00	0.00	112.11	0.00	112.11	-22.11
VN10	CT.0467.VN10.12.08.001	5	Supplies And Materials O	100.00%	180.00	0.00	180.00	0.00	180.00	0.00
VN10	CT.0467.VN10.12.10.001	5	Financial Costs O	N/A	0.00	0.00	4.97	0.00	4.97	-4.97
VN10	CT.0467.VN10.21.01.003	5	Direct assistance to VOTs in BG	52.14%	2267.93	0.00	1182.52	0.00	1182.52	1085.41
VN10	CT.0467.VN10.21.01.004	5	Self-help group activities	223.10%	1286.92	0.00	2871.16	0.00	2871.16	-1584.24
VN10	CT.0467.VN10.54.01.001	5	Consultant on psychological support trai	190.86%	1160.00	0.00	2213.96	0.00	2213.96	-1053.96
VN10	CT.0467.VN10.54.01.002	5	Training on psychological support	100.76%	708.07	0.00	713.43	0.00	713.43	-5.36
VN10	CT.0467.VN10.54.01.003	5	Training on HT & VT centered approach	97.48%	2325.16	0.00	2266.58	0.00	2266.58	58.58
VN10	CT.0467.VN10.54.01.004	5	Training on practices and life-skills	80.18%	3744.73	0.00	3002.57	0.00	3002.57	742.16
VN10	CT.0467.VN10.54.01.005	5	Coordination & Monitoring by BG	88.59%	1735.23	0.00	1537.28	0.00	1537.28	197.95
VN10	CT.0467.VN10.54.01.006	5	Final review meeting in BG	166.43%	1740.51	0.00	2896.66	0.00	2896.66	-1156.15
VN10	CT.0467.VN10.54.01.007	5	Program 130 meeting	48.74%	984.18	0.00	479.69	0.00	479.69	504.49
VN10	CT.0467.VN10.54.01.008	5	Inter-sectoral mechanism guideline dev't	97.48%	1492.62	0.00	1455.01	0.00	1455.01	37.61
VN10	CT.0467.VN10.54.01.009	5	Sub-agreement with CSAGA	54.79%	3050.00	0.00	1670.95	0.00	1670.95	1379.05
VN10	CT.0467.VN10.54.01.010	5	Other consultant	106.00%	1000.00	0.00	1060.00	0.00	1060.00	-60.00
VN20	CT.0467.VN20.11.02.001	5	Project Management L	105.37%	13760.99	0.00	14500.08	0.00	14500.08	-739.09
VN20	CT.0467.VN20.11.02.002	5	Project Management L	0.00%	733.96	0.00	0.00	0.00	0.00	733.96
VN20	CT.0467.VN20.12.02.001	5	Travel O	100.00%	316.00	0.00	316.00	0.00	316.00	0.00
VN20	CT.0467.VN20.12.02.002	5	Subsistence O	100.00%	253.00	0.00	253.00	0.00	253.00	0.00
VN20	CT.0467.VN20.12.03.001	5	Communications O	100.00%	126.00	0.00	126.00	0.00	126.00	0.00
VN20	CT.0467.VN20.12.10.001	5	Financial Costs O	100.00%	158.04	0.00	158.04	0.00	158.04	0.00
VN20	CT.0467.VN20.21.01.001	5	Facilitation Of Return	100.00%	474.00	0.00	474.00	0.00	474.00	0.00
VN20	CT.0467.VN20.21.01.002	5	Reintegration Allowances	100.00%	9053.00	0.00	9053.00	0.00	9053.00	0.00
VN20	CT.0467.VN20.21.02.001	5	Maintenance Of Reception Centres	100.00%	2101.00	0.00	2101.00	0.00	2101.00	0.00
VN20	CT.0467.VN20.50.01.001	5	Materials	100.00%	1947.00	0.00	1947.01	0.00	1947.01	-0.01
VN20	CT.0467.VN20.50.02.001	5	Hotlines	100.00%	3868.00	0.00	3868.00	0.00	3868.00	0.00
VN20	CT.0467.VN20.54.01.001	5	Institutional Strengthening	100.00%	4132.00	0.00	4131.96	0.00	4131.96	0.04



### Resource

Refer to the PRISM page on the IOM Intranet, which contains detailed instructions on different aspects of PRISM, including instructions for running different financial reports. For support in working in PRISM, refer to your resource management staff and the PRISM Help Desk at [PRISMHelpdesk@iom.int](mailto:PRISMHelpdesk@iom.int)

## III.2.b Results Monitoring

The Results Matrix is the starting point for project monitoring and should be used to build a detailed monitoring plan as it contains the indicators needed to measure progress towards project targets. These indicators should be transferred/copied into the Results Monitoring Framework and then, for each indicator, the data collection and analysis processes should be defined and included in the appropriate column.

As a planning tool, the Results Monitoring Framework ensures that all members of the project team and other stakeholders have a clear understanding of their role in monitoring results. The Results Monitoring Framework also defines the verification activities to ensure the quality of the data collected. Using the Results Monitoring Framework over the course of project implementation may result in the identification of additional indicators to feed project management. Once the Results Monitoring Framework is designed, specific tools may be needed to facilitate data collection and / or analysis, to enable the revision of planned vs. actual results, and to facilitate reporting.



### Information

Often, regular computing software (such as Microsoft Word, Excel, or Access) is sufficient for project monitoring, but at times more sophisticated software is required. If additional software is required, coordinate with the Information Technology and Communication (ITC) Service Centre in Manila. Ensure that actions taken are in compliance with IN/124: Software Policy, and follow the latest ITC standards, which are available on the IOM Intranet.

Table 4.5: Example of a Results Monitoring Framework

Expected results	Indicators	Source	Data collection method	Time or schedule and frequency	Party responsible	Data analysis	Resources
Obtained from the Results Matrix.	Obtained from the Results Matrix.	Source and location where the data can be verified.	Indicates how the data will be obtained (review of existent documents, surveys, interviews, observation, etc).	Indicates when data will be collected and how frequently.	Indicates who will be responsible for organizing the data collection, data verification and data storage in line with the Data Protection Guidelines.	Indicates how performance data will be analysed (that is, compare data with the baseline or relevant benchmarks).	Estimate all resources required and committed to collect and analyse the data.
<b>Outcome 1:</b> Human trafficking, migrant smuggling, and the abuse of vulnerable migrants are prevented through increased individual and structural awareness, and reduced vulnerabilities.	Percentage of survey respondents demonstrating knowledge of human trafficking, migrant smuggling, and abuse cases of migrants; appropriate responses; and preventative behaviours.	Survey to measure changes in knowledge and behaviour.	Before and after an information campaign.	Monitoring Officer.	Information from survey respondents contained in a database.	The data from the two surveys, before and after the campaign, will be compared.	Human resources.  Data processing software.

### III.2.c Risk Management and Response

Previously, you used the Results Matrix to prioritize the risks. Some of the risks will have been included in the project design (and thus require a response), while others – within or outside IOM's sphere of influence – will not have been recorded (and thus may require close monitoring).

Using the Risk Management Tool, the project team should develop strategies to monitor and potentially respond to risks with a high probability and high degree of impact.

Once the risks have been prioritized, the project team develops strategies to monitor and respond to the higher risk items identified in the risk assessment.

Communicate risks which have a high probability of occurring and a high level of impact to the CoM, resource management staff and, potentially, the Regional Office.

Common risk management strategies include:

- risk avoidance, or not performing the activity that carries the risk;
- risk reduction, by reducing either the impact of the event should it occur or the probability of the event from occurring;
- risk sharing, by sharing with other parties the impact of the event, should it occur;
- risk retention, by accepting the impact of the event, should it occur.

For those risks that require a response, a plan should be developed, which would include determining the steps to take and assigning responsibility for each step to a project team member.

Risk monitoring involves keeping track of the identified risks and any changes that may increase or decrease their probability and impact on the project, as well as ensuring the execution of risk response plans and evaluating their effectiveness. Risk monitoring and control continues for the life of the project.



## Tool 4.2 Risk Management Tool

	Generic Risk areas and most common Risk Elements	Timeline – What is the timing of the risk on the project?	Impact – (indicate category using Tool 4.3 Risk Matrix)
Recruitment and Human Resources	Expertise -difficulty to identify and hire staff with required profile and expertise.	Project likely to be affected for 12 months, during its implementation.	Noticeable.
	Location - lack of incentive to attract qualified staff due to the undesirable project location.	Project likely to be affected for 12 months, during its implementation.	Critical.
Financial Management	Human Resources - insufficient and inadequate budgeting.	Project likely to be affected for 12 months, during its implementation.	Small.
	Operational costs - insufficient and inadequate budgeting for project activities and results.	Project likely to be affected for six months, starting three months after its initial implementation.	Existence-threatening.
Procurement, assets management and warehousing	Bidding, selection and contracting – Non-compliance with IOM procurement procedures.	Project likely to be affected during the initial six months when assets are purchased for use.	Existence-threatening.
	Construction components – lack of adequate planning, service providers, materials, contractual arrangements and commissioning procedures.	Project likely to be affected for 12 months, during its implementation.	Noticeable.
Operations	Scope - inadequacy of project activities to achieve project results (disruption in the project causal logic).	Project likely to be affected for 12 months, during its implementation.	Noticeable.
	“Implementing partners – lack of adequate contractual, disbursement, reporting arrangements and monitoring procedures for project segments implemented by external partners.”	Project likely to be affected during the last eight months when implementing partners are in charge of delivery.	Existence-threatening.
Information Management	Data protection - lack of compliance with IOM data protection principles.	Project likely to be affected for 12 months, during its implementation.	Critical.
	Information Protocols – lack of clear procedures for collection, analysis and distribution of project information.	Project likely to be affected for 12 months, during its implementation.	Noticeable.

Likelihood of the risk occurring (indicate category using Tool 4.3 Risk Matrix)	Risk Management (RMan) – Risk managing mechanisms and tools throughout the project - which actions are going to be undertaken?	Risk Owner – Who monitors and who manages risk?
Possible.	Strengthen mechanisms for recruitment, either through national or international vacancy notices.	Project Manager monitors/ resource management staff manages.
Possible.	Include in vacancy notice, plan of benefits, entitlements, opportunities within the Organization.	Project Manager monitors/ resource management staff manages.
Seldom.	Revision and monitoring of budget, in order to establish possible actions to be undertaken.	Project Manager monitors/ resource management staff manages.
Frequent.	Adjust budget to confirm whether activities could be adjusted to achieve results.	Resource management staff monitors/ Project managers manages.
Possible.	Revision of procedures, gathering information, check-list on procedures to be followed and monitored.	Project Manager monitors/ Procurement Officer manages.
Very Seldom.	Desk review of existing service providers, contractual arrangements, commissioning procedures to identify best options and coordination processes.	Project Manager monitors/ Project’s Civil Engineer manages.
Possible.	Revision of Results Matrix to equate activities to project results. Monitoring workplan developed.	Chief of Mission monitors/ Project Manager manages.
Possible.	Adjustment of contracts to revise internal mechanisms of report and delivery, dispute result and finalization.	Project Manager monitors/ Project’s Legal Officer manages.
Frequent.	Desk analysis with recommendations to be included in the areas where project should comply with IOM’s data protection principles.	Chief of Mission monitors/ Project’s Legal Officer manages.
Possible.	Development of a data collection system and revision of existing mechanisms of distribution in order to adjust them.	Project Manager monitors/ Information Analysis Officer manages.

The Risk Matrix (Tool 4.3 ) will help you in completing the sections on impact and likelihood in the Results Management Tool.

Use the following principles to complete the Risk Matrix.

Probability of occurrence:

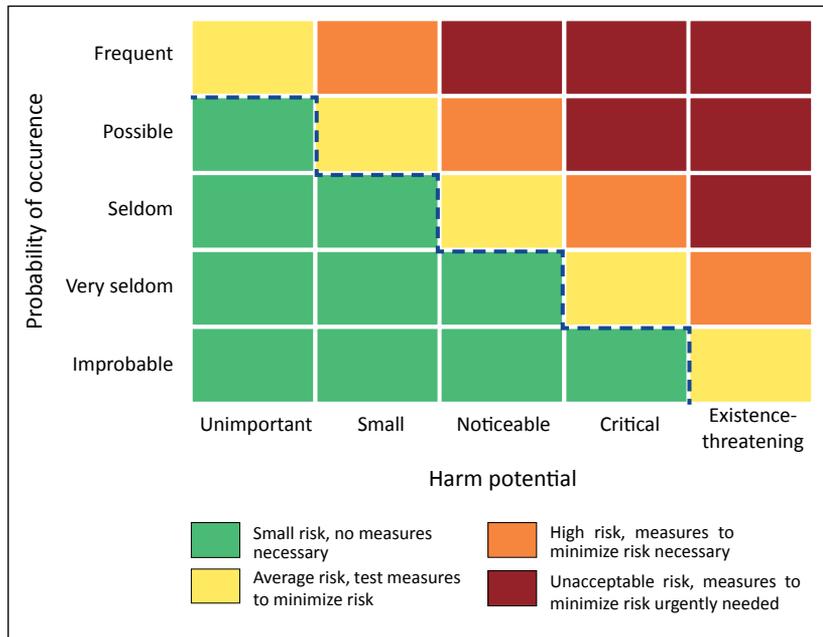
- **Frequent:** daily (risk might occur on a daily basis)
- **Possible:** weekly (risk might occur on a weekly basis)
- **Seldom:** monthly (risk might occur on a monthly basis)
- **Very Seldom:** annually (risk might occur on an annual basis)
- **Improbable:** risk (might occur every two years)

Harm potential:

- **Existence-threatening:** lives of individuals will be harmed
- **Critical:** the Organization, its staff, donor, community, and/or State will be potentially harmed with a direct threat to their rights
- **Noticeable:** the Organization, its staff, donor, community, and/or State might be potentially harmed with a direct threat to their rights
- **Small:** individuals and/or organizations might be harmed with no direct threat to their existence/or rights
- **Unimportant:** harm is caused without real implications or conditions that might surface.



### Tool 4.3 Risk Matrix



Adapted from Swiss Association for Quality and Management Systems, Risk Management, 2008

## III.3 Manage Changes in Project Implementation

At times it may be necessary to make changes to the project. These changes may be due to delays between project development and project start-up, or factors external to the project. The need for changes may be identified by monitoring the project's implementation. The following types of changes may be made to the project:

- revisions to the Results Matrix
- no-cost extensions
- reallocation of budget
- rollover of budget
- additional funding.

### III.3.a Revisions to the Results Matrix

The following factors may lead to revisions to the Results Matrix:

- risks to the project may materialize, making the achievement of the results of the project, or components of the project, much more difficult, time-consuming, or expensive;
- project monitoring efforts may reveal that the activities being conducted are not leading to the expected outputs, or that the outputs being achieved are not resulting in the expected outcomes;
- differences between actual costs and budget estimates to the project (for example, exchange rate differentials leading to more or less funding being available) may also have an impact on the project.

In such cases, the Results Matrix and the Results Monitoring Framework require revisions.

These revisions are to be endorsed by the original project endorser and approved by the donor. If the original endorsement process included the involvement of the IOM Regional Office in Brussels or a Country Office with Resource Mobilization Functions (CORMF), they are to be involved in the endorsement of changes to the Results Matrix. Discussions and agreements with the donor are to be documented in written communication, meeting notes, or as per any formal procedures described in the donor agreement.

Once the changes are agreed upon and documented, project implementation processes continue using the revised Results Matrix and Results Monitoring Framework. If there is a need for an amendment to the contract with the donor, this must be reviewed and approved by LEG in advance.



### Information

In particular, the following issues should be addressed and documented in revising the Results Matrix and Results Monitoring Framework:

- Are changes to the activities required (that is, are there new activities, reduced activities, or additional activities)?
- What changes are required? Fully describe the necessary changes and attach the revised Results Matrix and Results Monitoring Framework.
- Do the new/reduced/additional activities still lead to the outputs?
- Do the outputs (reduced/revised/added) still lead to the outcomes?

### III.3.b Extension Requests (No-cost)



### Definition

A **no-cost extension** is an extension to the project period with no additional funds.



### Information

Remember to update the BNP and to extend project dates in PRISM.

In some cases, the intended outputs and outcomes of the project remain the same, but additional time is required to achieve them. Externalities beyond IOM's control or oversights in planning may delay the implementation of all or parts of the project, resulting in overall project delays. In such cases, the best solution may be to request an extension to the project implementation period from the donor. Some donors have very strict guidelines and specific timelines for receiving and approving no-cost

extensions. For these reasons the project schedule and implementation should be constantly monitored in order to ensure timely identification of a need for a no-cost extension.

Before requesting a no-cost extension, review the budget to ensure that there are sufficient funds to cover both the activities that will be conducted and the staff and office costs required to complete the activities. Frequently, a request for a no-cost extension is submitted along with a request for budget reallocations (see Section III.3.c).

The submission of a request for a no-cost extension should be carefully considered. Donors may view the request as a failure by IOM to manage the project in a timely manner. Clear and convincing justification for the request should therefore be presented to the donor.

If the project is funded by the European Union centrally or the government of a country covered by an IOM CORMF, the no-cost extension request is to be coordinated with the appropriate IOM office.

Keep in mind that some donors will not grant no-cost extensions in particular circumstances. For example, the IOM Development Fund will not grant a no-cost extension if the overall staff costs exceed 30 per cent of the budget. In sum, it is always advisable to know the donor's procedures and requirements.

### III.3.c Budget Reallocation Requests



#### Definition

**Budget Reallocation** is the process of moving funds from one budget line to another.

During the implementation of the project, the project team may see that the resources allocated to particular activities are greater or lesser than what are actually required. This may be the result of:

- inadequate or insufficient information at the time of proposal development (for example, an improper



#### Resource

The Donor Relations Division (DRD) can be contacted at [DRD@iom.int](mailto:DRD@iom.int) for assistance in preparing a no-cost extension request.

estimation of the market cost of construction or information technology (IT) materials);

- changes beyond IOM’s control (for example, a sharp rise or decrease in the market cost of construction or IT equipment);
- changes in the demand for project services (for example, a higher than expected number of trafficked persons identified, or new requests for capacity-building training for government officials).

For budget reallocation, you should be familiar with the donor agreement, particularly in regard to allowable budget reallocations. Some donors permit an overexpenditure of a budget line up to a certain amount or percentage, without the need for justification or revisions to the contract. Other donors allow you to reallocate funds, within certain parameters, without prior approval.

If the budget reallocation requirements exceed the parameters of the project agreement, a written request is made to the donor to move funds from one budget line to another.

A well thought-out justification for the request should be provided, and the donor may also request, or benefit from receiving, a short progress report on the project’s achievements to date.

If the project is funded by the European Union centrally or the government of a country covered by an IOM CORMF, the budget reallocation request is to be coordinated with the appropriate IOM office.



#### Information

If the donor approves the request and the reallocation is made, the original project endorser is to be notified. A new BNP must be submitted to the Manila Budget Support (MBS) in MAC.

### III.3.d Budget Rollover Requests

In some cases, a project may have unspent funds at the end of one period (usually a fiscal or calendar year) that could be

used in the next period of the project. In such cases, review the donor agreement for instructions on the rollover of funds and, if necessary, make a formal request for the rollover of funds. If granted, PIU and the Manila Budget Support (MBS), and the original project endorser are to be informed.

### III.3.e Requests for Additional Funding (Cost Extension)

In some cases, additional funds are needed to complete the activities described in the Results Matrix or to allow for an extension of the project period. In such cases, a formal request for additional funds will be made to the donor. If granted, PIU, MBS and the original project endorser are to be informed.



#### Information

Consult LEG when making changes to project agreement and provide LEG with the updated agreement.

Inform PIU, PCST and MBS of changes to project documentation and provide them with the new donor documents and BNP.



#### Information

Some donors have strict requirements and deadlines for requesting no-cost extensions, budget reallocations, or additional funds. You are responsible for reviewing the project agreement and discussing any requirements and deadlines for such requests with DRD, the Regional Office in Brussels or CORMF (if relevant), and the donor. Failure to comply may, in the worst case scenario, result in the project's termination with IOM having to return unused funds.

### III.3.f Co-funding

If the project has an unmet co-funding requirement, you are responsible for ensuring that efforts to secure the total co-funding continue throughout the lifespan of the project. Be sure to keep the IOM Co-Funding Group (CFG) informed by sending

regularly updated Co-Funding Monitoring Forms indicating any confirmed contribution or official intention to contribute as documented in an email or letter. Any indications of an expected but not formally announced contribution should also be noted here and followed-up later once formal confirmation is received.

When such updated Co-Funding Monitoring forms are received, the CFG will reassess the financial exposure of a specific project and the likelihood of securing co-funding in relation to the amount of time remaining for project implementation. If the CFG has serious concerns about the chances of securing the unmet requirement, you may be required to reduce activities so as to limit the co-funding exposure.

### III.4 Oversee Information and Manage Communications



#### Information

IOM has established procedures for document management and data protection. Project staff must be familiar with and adhere to IN/138: IOM Data Protection Principles.

Throughout the lifespan of a project, large amounts of information will be generated, necessitating the establishment of systems for managing this flow of information to ensure:

- that the project is implemented effectively and efficiently;
- that the information needs of donors, stakeholders, and beneficiaries are met;
- that internal IOM requirements are adhered to;
- that the knowledge gained through project implementation is available for use in improving future projects at both local and global levels.

Information and communication management is therefore a cross-cutting issue touching on many aspects of project implementation. As Project Manager, often your most pressing concern is gathering sufficient data for project monitoring and donor reporting. This is discussed at greater length in the monitoring section of this Module and in Module Five. This section focuses on the means for disseminating project information to the relevant parties through established communication channels. This section thus focuses on:

- public information about the project
- visibility of the project
- internal coordination
- document, file, and record management.

### III.4.a Public Information

Public information encompasses the regular dissemination of information on project activities and implementation status. For example, a press release may be issued at a project launch or at any time during project implementation to announce significant events or accomplishments, or a newsletter could be issued. Various audiences can be targeted. Project information sheets and newsletters tend to target project beneficiaries and stakeholders, while press releases and websites are best suited to reach the general public.

Regular updates on the status of the project can be disseminated in a number of ways, including the following:

- project information sheets
- newsletters
- press releases
- websites.

#### *Project Information Sheets*

These are brief documents (usually two pages in length) providing general information on the project, including the main activities and expected results, the anticipated start and end dates, the donors, key project partners, and any other relevant information. Project information sheets are also a



#### Resource

Contact the Media and Public Information Unit (MPI) at [mpi@iom.int](mailto:mpi@iom.int) for assistance in managing media relations, preparing press releases, and distributing press briefing notes through IOM's institutional channels.



### Resource

Templates for project information sheets and newsletters are available on the IOM Intranet.



### Tips

MA/12: Building Bridges with the Media: A Tool-kit for Media Focal Points provides useful information on both preparing press briefing notes and managing relations with national and international media.

valuable way of promoting institutional visibility as information on IOM and its thematic areas can be included.

## Newsletters

Newsletters are a useful tool for providing beneficiaries, donors, and other stakeholders, as well as the general public, with information. Consideration should be given to the purpose of the newsletter, the types of material to be included, the layout and design, the medium to be used (such as printed newsletters, digital files, or e-mails), the audience to be reached, the distribution channels, the frequency, the language requirements.

## Press Releases

A press release is a good way to announce the beginning of a project, to publicize donor contribution to the project, or to highlight major events and achievements during implementation.

When drafting a press release, coordinate with press officers or MPI regarding media relations. They will provide technical assistance in preparing good quality releases and in networking with media, and in ensuring that the information shared is appropriate and corresponds to IOM guidelines. MPI also distributes selected press briefing notes through its regular distribution channels, including the IOM website, on a twice-weekly basis.

## Websites

The IOM global website makes project information available to online audiences worldwide through country pages, featured projects, photo stories, and event announcements. These are coordinated with Website, Intranet, and Digital Assets Management (WIDAM) in the MAC. The global website also has links to templates for various publication information tools, including country pages, featured projects, photo stories, event announcements, and Country Office websites.



### Information

The use and display of images of beneficiaries in photo stories, reports, publications, promotional material, brochures, articles, and presentations on IOM websites require prior consent of persons portrayed, particularly if the images are of highly sensitive cases and vulnerable individuals, such as trafficked persons. The photographer is responsible for obtaining the prior written consent from all individuals or their legal guardians. If photos are taken for an IOM project, IOM should retain the copyright of the photographs or at least joint copyright (see the photography consent form, which is an Annex to MA/88: IOM Data Protection Guidelines).



### Resource

Contact WIDAM at [wsm@iom.int](mailto:wsm@iom.int) for assistance in preparing and posting information on IOM websites.

## Country Pages

A country page provides donors and partners with a concise summary overview of IOM activities in a particular country, together with key facts and figures, latest news, and references. Some country pages have a link to relevant national migration law documents and feature IOM's *Migration Initiatives*. For a Country Office, a country page is a simple and cost-effective way to gain exposure. They are updated at least once per year, although more frequent updates are welcome.

## Featured Projects

Specific projects may also be highlighted in the featured projects section on the IOM global website. On a dedicated web page, a featured project presents a clear, concise view of a project, explaining its background, objectives, activities, benefits, beneficiaries, donors, and partners. Links to related news, information sheets, photo stories, videos, and external websites may also be added to the web page.

## Photo Stories

Photo stories are an excellent way of showcasing IOM’s project activities. A few well-chosen photos can convey a message more effectively than several poor ones or plain text. With this in mind, images submitted for photo stories should be of good quality in terms of subject matter and composition, as well as resolution (at least 1 megabyte). Images should be submitted with additional information about whom, what, when, and where so that photos will not be taken out of context. Include photo credits and ensure that the consent of the person(s) photographed has been obtained.



### Resource

IN/65: IOM House Style Manual summarizes the guidelines to be adhered to for all IOM publications in English, with the objective of bringing uniformity to the work of authors, editors, and translators. It also provides guidance on how to write for the Web.



### Tips

#### Good Practice:

#### Designing a Public Information Strategy

Project staff can work with their media focal point or Communications Officer (if present) to design an overall public information and outreach strategy for the project. This can include media coverage for the project launch and key project events, public information campaigns, and project information materials.

## Event Announcements

Events related to IOM projects may be posted on the relevant web page of the IOM global website. These include workshops, seminars, conferences, exhibits, and other events at which IOM is an organizer or presenter.

## Country Office Websites

In addition to their country page on the IOM global website, a Country Office may maintain its own country website in order to provide in-depth descriptions of its main activities. Such websites, if regularly updated, are an excellent means of sharing up-to-date project information and project-related documentation, and calendars of activities, preferably in the national language.

## III.4.b Visibility

### *Visibility as a Donor Requirement*

A number of donors have specific requirements regarding the visibility of the projects that IOM implements with their funds. For example, they may wish to be acknowledged in all print materials as the source of the funding, or to have their logo added to all materials. Some donors have specific guidelines on donor visibility that make up an integral part of the contract. Visibility requirements should be reviewed during the signature of any contract and the requirements should be adhered to.

### *Visibility of IOM and Partners*

It is important for IOM to be given visibility for the actions and activities that it implements, and special care should be taken to ensure IOM visibility in projects implemented jointly with other organizations or agencies, as appropriate. Visibility can include the use of corporate logos or slogans on project publications and materials, and the display of corporate materials at project events. Joint press releases with the beneficiary or donor entities may increase opportunities for visibility.

## III.4.c Internal Coordination

The implementation of any IOM project implies the need for frequent communication and coordination with a variety of IOM Offices, Divisions, and Departments, as well as with donors.

Within IOM, you will liaise mostly with Divisions at Headquarters, Administrative Centres, Country Offices, and Regional Offices.

### *Divisions at Headquarters*

The relevant Divisions at Headquarters require information on any major difficulties and concerns in project implementa-

tion, trends in partnerships, and so forth. It is primarily the responsibility of the Regional Office to ensure that Headquarters is regularly briefed on these aspects of project implementation. However, as Headquarters is responsible for the development of thematic and technical guidance notes, colleagues in the relevant Divisions benefit from the receipt of regular project updates, information on innovations or challenges in the Field. The most common form of communication with colleagues in the relevant Division at Headquarters is via e-mail.

### *IOM Regional Offices*

Technical staff at the Regional Offices should be regularly updated on the status of project implementation. This will serve two key purposes:

- Through regular communication with colleagues in Country Offices, Regional Office staff will be kept abreast of developments on the ground, identify regional trends, and have the information necessary to promote IOM's work and objectives at the regional level;
- Technical staff at the Regional Office can provide back-stopping and guidance for projects in the region that fall within their area of expertise.

### *IOM Regional Office in Brussels and CORMF*

For projects funded by the European Union centrally or the government of a country covered by an IOM CORMF, review and coordination is required with the IOM Regional Office in Brussels, or the relevant CORMF. Due to its global responsibilities, the IOM Regional Office in Brussels should also receive copies of all submitted project proposals, grant agreements, and reporting packages (including those for decentralized projects). The Regional Office in Brussels can provide advice on donor requirements and priorities when requested by the Regional Offices. Be sure to update the relevant IOM office on a regular basis, particularly if there are obstacles to project implementation.

## *IOM Offices*

When a project is being implemented in more than one country (regional or multi-country projects), the Project Manager is responsible for liaison with and between the other IOM Country Offices. Keep regular contact with all implementing IOM offices, and be particularly careful to ensure that financial expenditures are monitored and budgets are adhered to.

Table 4.6 indicates some of the points in the project lifespan at which the project team may need to liaise with different IOM counterparts and donors. The checkmark indicates the staff or units that must be involved in the decisions, while the e-mail icon indicates those who should be kept informed, for example, by being copied on e mail communications.



### Information

When obstacles occur, it is recommended that you keep the local embassy or European Union delegation briefed, even if the office has no formal responsibility for the project. Local representatives will be aware of the specific local context and may provide valuable advice on the implementation of the project.

**Table 4.6: Internal coordination During the Project Lifespan**

	LEG	MPI	RAS	PAC	HRM	Regional Office	Division at Headquarters	RMO	DRD	CORMF	PIU	WIDAM
Start-up	Recruitment of project team											
	Press releases for project launch											
Planning	Resource and financial planning											
Implementation	Human resource management											
	Financial resource management											
	Contract management											
	Changes to project documentation											
	Press releases											
	Website management											
	Project closure											
Ongoing	Regular liaison											

required coordination should be informed/kept in copy

### III.4.d Manage Documents, Files and Records

File management – the management of documents, files, and records – is an issue cross-cutting all aspects of information and communication management. It is undertaken at both the global level (that is, the storage and retrieval of key project documents from the Intranet) and the local level (that is, the day-to-day use and storage of project files).

Globally, PIU is responsible for maintaining the electronic and paper records of old and current project documentation and for updating the project folders in the Intranet. You, as the project manager are responsible for providing PIU with the documents described below in the section on project information management.

Locally, information on the project (such as the project document, budget, reports, publications, information campaign materials, e-mails, letters, and agreements) is stored in hard copy and electronically. In order for this information to be used, it must be accessible by the project team; therefore, a file management system, no matter how basic, should be put in place.

The following tips can be followed to develop a basic file management system:

- Set up a shared data management system with authorized access. Your Information Technology and Communication Officer can help you to establish a folder on the shared drive, and can ensure that only those staff specified by you have access to the folder.
- Together with the project team, establish naming conventions for both folders and files. For example, you can decide to name folders according to topics or project components, such as “national plan of action” or “repatriation assistance”. For files, the project team can agree to follow naming conventions for noting the version of the file or for indicating who has drafted and has “ownership” of a document.

- Maintain the files regularly. It can be helpful to assign one staff member to conduct regular maintenance of the filing system (such as securely disposing electronic or hard copies of documents that are no longer needed).

IN/5: IOM Guidelines and Regulation on the Disposal of Records and Documents and MA88: IOM Data Protection Guidelines provide guidelines for the destruction of project-related records. Certain documents may be destroyed after three years (such as general documents related to the budget or to personnel), after five years (such as files and documents related to Migration Health Division activities), or after seven years (such as original accounting documentation). Some files must be maintained permanently, including original copies of memorandums of understanding, contracts, and official communications.



#### Resource

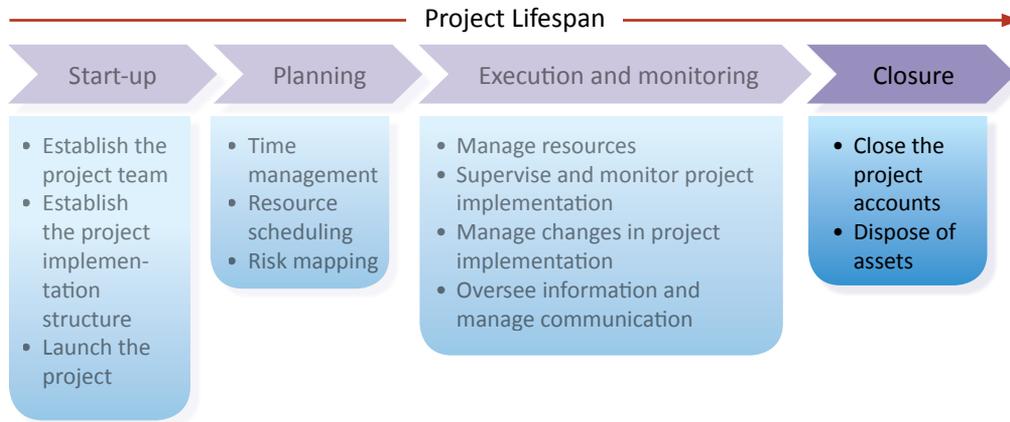
Project staff must be made aware of and comply with IN/5: IOM Guidelines and Regulation on the Disposal of Records and Documents, IN/138: IOM Data Protection Principles, and MA/88: IOM Data Protection Guidelines.



#### Information

Some donors specify in the contribution agreement the period for which documents must be retained. For example, the European Commission requires that documents be retained for a period of up to seven years after the completion of a project. In the absence of such an explicit requirement, documents containing financial information, narrative reports, or receipts should be retained for seven years.

## IV. PROJECT CLOSURE



Closing a project is a complex process involving many parties within the Organization and consisting of several steps to be taken in close coordination with each other. Project closure activities include, among others, reconciling balances of accounts and disposing of or transferring the assets purchased with project funds. After ensuring that all expenditures are in line with the agreement and the approved budget, the project is to be closed and no further expenditures are to be authorized. Appropriate notice periods must be observed so that all project-related contracts (including staff contracts) can be cancelled and/or terminated on time.

The time required to close a project may vary between one month and one year depending on its size and complexity, as well as the period of time the project had been active. In order to ensure a smooth project closure, identify the required steps, set target dates for the completion of the steps, and assign responsibility for the completion of each step. It is necessary for you to ensure that adequate time is allowed in order for project activities to be completed within the specified project period.



### Resource

Refer to IN/62: Guidelines for the Closure of Large Projects.

## IV.1 Step One: Close the Project Accounts

As Project Manager, you are responsible for the regular tracking of expenses, financial obligations, assets, and commitments against the budget in line with the donor agreement. Regularly review expenses against the budget over the life of the project to ensure that expenditures do not run over budget. All outstanding purchase requests (PRs) must be reviewed over the life of the project. PRs which are not expected to turn into a Purchase Order (PO) must be cancelled since these consume budget. All pending POs must be reviewed to ensure that they are settled before the closure of the project. Pending items, such as travel advances and guarantee deposits, must be cleared, such as travel advances, and guarantee deposits. If these items are not cleared and are discovered after project closure, there will be no work breakdown structure (WBS) to which to charge them.

Final payments are not always completed within the project period (due to, for example, contract end dates that coincide with project end dates, or delays in the submission of invoices). Even if payment may occur after the project end date, expenses must be duly registered in PRISM to reflect them within the project period, and in accordance with IOM's accounting procedures.

Monthly global accounts are usually closed in the middle of the following month. This means all pending settlements should be completed within the first month following project closure when permitted by the donor. This will allow the final report to be completed within the standard three-month post-project period.

Once all adjustments and preparations for project closure are complete, it is necessary for you to ensure that the status of the project is changed to "technically complete" (TECO). TECO status prevents transactions from being posted or recorded. Only when the project has TECO status can formal closure of the project be achieved.



### Resource

For more information on how to achieve TECO status, refer to MA/376: Change Status of Project – Technically Complete (TECO) and MA/377: The Change of User Status to Technically Complete (TECO) User Guide.



## Information

In PRISM, budget lines can have one of the four following statuses:

- *Created (CRTD)*: When the donor has indicated that a project will be funded, the resource management staff will create the project structure in PRISM. Once the project structure is created, the budget lines in the structure will have CRTD status. With this status, the budget lines cannot be used (that is, no charges can be made to the budget lines).
- *Released (REL)*: Once the PARF has been submitted and the project has been activated, the project status will be changed to REL and the budget lines can be used.
- *Technically complete (TECO)*: TECO status means that the budget line or the whole project is complete. You can request TECO status for either specific budget lines or the whole project. For the first instance, you may decide to change the status to TECO of the budget lines related to an activity that is complete (for example, the budget lines for an inception workshop held at the beginning of the project). With TECO status, no charges may be made to the budget line. If required, TECO status for budget lines can be reversed at a later date. During the project closure processes, all budget lines and the project as a whole are changed to TECO.
- *Closed (CLSD)*: With this status, the project is closed and no further charges can be made.

**Figure 4.8: Project Status**

Status	Level	WBS element
REL // TECO	3	RT.0350.HU10.54
REL // TECO	4	RT.0350.HU10.54.01
REL // TECO	5	RT.0350.HU10.54.01.001
REL // TECO	5	RT.0350.HU10.54.01.002
REL // REL	5	RT.0350.HU10.54.01.003

## IV.2 Step Two: Dispose of Assets

Following the closure of a project, you may be left with assets related to the project. Donor requirements determine what should be done with such assets; for example, the donor may require you to dispose of the assets upon the completion of the project (such as by donating these to a project beneficiary).



### Information

Special care should be taken to properly document the process of asset disposal. If the asset disposal includes donating IT equipment, such as computers, laptops, and other storage devices, all traces of data should be removed and purged by the relevant Information Technology and Communication Officer before delivering the equipment to the donee.

The Table 4.7 provides a general set of recommended actions and timelines for preparing for project closure.

**Table 4.7: Project Closure Timelines**

Actions and timelines	Less than three months to project closure	Less than two months to project closure	Less than one month to project closure	One month following project closure
Thoroughly review expenses to ensure execution and prevent overspend.				
Review all outstanding PRs and commitments				
Raise purchase orders for all remaining purchases.				
Review outstanding advances to ensure they are cleared before the project end date.				
Review donor agreement for asset disposal specifications.				
If required, prepare and execute plan for asset disposal in coordination with the Procurement Officer.				
Ensure pending payments, obligations, and commitments are finalized.				
Ensure the project has TECO status to prevent further postings.				

Work together with the resource management staff to ensure the items in the following checklist are completed during project closure.

**Table 4.8: Project Closure**

		Project Manager	Resource management staff	Procurement staff	Assets Management Staff
Alert Offices	Alert relevant staff that the project is closing, and advise them on the date of project closure. Relevant staff include the project team, resource management staff, and procurement staff. If other offices have budget allocation, advise them of the cut-off date by which all expenses incurred must be recorded in PRISM.				
Manage Assets	Generate a list of assets purchased by the project. The assets management or resource management staff can generate a list of all assets recorded in PRISM. If assets were not listed in PRISM (a typical example is when the purchase of the asset was charged directly to the project using account assignment "P" instead of "A" in the Purchase Order) review the financial reports to manually generate a list of assets purchased with project funds.				
	Review the donor contribution agreement for donor instructions on asset disposal. For example, some donors require that all assets of a certain value must be donated to project beneficiaries at the end of a project, and some donors may require that you obtain their prior authorization before donating assets to particular beneficiaries.				
	If asset donation is required, download the most recent version of the deed of donation from the IOM Intranet and follow the instructions for completion and donation of the assets.				
	If an asset was purchased with internal IOM funds (for example with Discretionary Income funds, additional overhead funds, or IOM Development Fund), the assets management staff is to transfer the assets to WBS MI.8888.XXXX.12.06.001.				
	Ensure that transfer, write-off, or disposal procedures for fixed or low-value assets are followed requires FPU coordination and that disposal of project assets are recorded in PRISM. Formally reassign and hand over assets.				
Finalize procurement	Review goods receipts and invoice receipts and ensure they are all closed.				
	Review outstanding purchase requisitions and purchase orders and close or cancel any open commitments.				
	Use PRISM project reports to check if there are any remaining commitments. Continue to monitor closure or cancellation of goods receipts, invoice receipts, purchase requisitions, and purchase orders until all remaining commitments are cleared from PRISM.				

		Project Manager	Resource management staff	Procurement staff	Assets Management Staff
Review accounts and treasury	Collect any deposits on project-related contracts that were terminated; for example, receive payment from a vendor previously disbursed as a down payment. Enter the accounting adjustments.				
	Review the accounts payable and accounts receivable balances associated with the project, then reconcile and clear all balances.				
	Check account 210120 and make sure that all staff ticket costs associated with the project are transferred to the appropriate WBS.				
Reconcile project balance	Run budget consumption and project monitoring reports and make sure the project balance reconciles.				
	Find reconciliation items and adjust accordingly.				
Update projectizations	Review the impact of project closure on the remaining projects in the office's portfolio in order to reallocate support staff and office costs as necessary.				
	Re-projectize staff costs per IOM's projectization principles: <ul style="list-style-type: none"> <li>for international staff, submit monthly projectization to the Manila Human Resources Operations Payroll Unit reflecting the changes of reallocation on or before the cut-off date (15th of each month);</li> <li>for national staff, update projectization in the PRISM Human Resource payroll module.</li> </ul>				
	Re-projectize office costs in accordance with IOM's projectization principles. Update the projectization schedules related to monthly cost distribution.				
Other actions	Check for unsettled daily subsistence allowance advances related to the project.				
	Check for uncollected credit notes related to the project.				
	Check for uncollected value added tax amounts related to the project.				

## V. PROJECT INFORMATION MANAGEMENT

During project management and monitoring, significant project information is generated. The main types of information that are to be captured are information related to the successful internal management of the project, information related to institutional requirements for information sharing and management, and human resource information on those staff comprising the project team.

**Table 4.9: Information Management in Project Management and Monitoring**

Information/ Documents	Party responsible	Process	Purpose
TORs for new positions	Resource management staff or HR Officer  HRM	Resource management staff or HR Officer sends new TORs to HRM for classification.  TORs for project staff filed by resource management staff or HRO.	Classification of new posts and maintenance of staff records.
Time management plan	Project Manager	Project Manager circulates to project team.  Project Manager files together with project documentation.	Establishes timelines to guide project team through project implementation.
Resource schedule	Project Manager	Project Manager circulates to project team, Procurement Officer, and resource management staff.  Project Manager files together with project documentation.	Guides project team in procurement and expenditures.  Assists Procurement Officer and resource management staff in procurement planning.

Information/ Documents	Party responsible	Process	Purpose
Financial plan	Project Manager	Project Manager circulates to project team and resource management staff.  Project Manager files together with project documentation.	Coordinates financial planning with resource management staff.
Risk management plan	Project Manager	Project Manager circulates to project team.  Project Manager files together with project documentation.	Reviews risks and risk management strategies and communicates them to project team and partners.
SES	Project Manager	Project Manager completes with staff and sends to resource management staff or HRO.  Resource management staff or HRO files in staff records.	Fulfills institutional human resource management requirements.  Establishes baselines and targets for managing staff performance.
Financial records	Procurement Officer  Resource management staff.	Paper copies of documentation managed by Procurement Officer and resource management staff.  Financial information uploaded to PRISM.	Fulfills institutional accounting and financial management requirements.  Preserves financial information required in case of project audit.





## Tool 4.4 Project Management and Monitoring Checklist

	Required	Recommended
<b>Project start-up</b>		
<b>Establishing the project team</b>		
Have you drafted TORs for all members of the project team?		
Has HRM classified new positions?		
Have you coordinated the recruitment of international staff (if relevant) with HRM?		
Have you coordinated the recruitment of national staff (if relevant) with the resource management staff, and/or HRO, and/or PAC?		
Have you coordinated the decision on contract type with the resource management staff, HRM, HRO, and/or PAC, as appropriate?		
<b>Establishing project implementation structures</b>		
Have you prepared an organizational chart of the project team?		
In cases of large, multi-component, or multi-agency projects, has a steering committee been established?		
<b>Project launch</b>		
Have you involved key stakeholders and donors in planning and holding the project launch?		
Have you held a project launch?		

	Required	Recommended
<b>Project planning</b>		
Have you established a time management plan and shared it with the project team?		
Have you established a resource schedule and shared it with the project team, the resource management staff, and the Procurement Officer?		
Have you prepared a financial plan and shared it with the resource management staff?		
Have you developed the Risk Management Tool and shared it with the project team?		
Have you assessed the impact and likelihood of the risks identified using the Risk Matrix?		

<b>Project execution and monitoring</b>		
<b>Resource management</b>		
Have you developed a staff development plan?		
Have you regularly conducted SES for project staff?		
Have you requested and obtained approval from LEG prior to signature of contracts?		
Have you sent copies of signed contracts to LEG?		
In the case of non-compliance with the contract, have you reported the situation to the resource management staff or the Chief of Mission or Regional Director?		

	Required	Recommended
If there were changes to a contract, have you submitted the revisions to LEG for approval prior to signature?		
If there were changes to a contract, have you submitted a signed revised version of the contract to LEG?		
<b>Monitoring project implementation</b>		
Have you regularly monitored budget execution?		
Have you established a Results Monitoring Framework and regularly updated it as required?		
<b>Managing change in project implementation</b>		
If there were changes to the Results Matrix or Results Monitoring Framework, have you informed the original project endorser (and the CORMF, if relevant)?		
In the case of a no-cost extension to a project funded by the European Union or the government of a country covered by an IOM CORMF, have you informed the relevant office?		
In the case of a budget reallocation request for a project funded by the European Union or the government of a country covered by an IOM CORMF, have you coordinated the request with the relevant office?		
If a budget reallocation request was granted, have you notified the original project endorser, MBS and PIU?		

	Required	Recommended
If a request for additional funding was granted, have you notified the original project endorser, MBS and PIU and PCST?		
If the project has an unmet co-funding requirement, have you continued to seek and advocate for donor support and kept the IOM Co-funding Group informed by sending regularly updated Co-funding Monitoring Forms?		
<b>Information and communication management</b>		
Have you ensured that a public information strategy was developed in coordination with the media focal point or Public Information Officer?		
Have you reviewed the donor agreement for visibility requirements?		
Have you factored the visibility of both the donor and IOM into project events and publications?		
Have you regularly liaised with the project donor in the various stages of project implementation?		
Have you implemented file and data management processes in accordance with IN/5: IOM Guidelines and Regulation on the Disposal of Records and Documents and IN/138: IOM Data Protection Principles?		

	Required	Recommended
<b>Project closure</b>		
Have you reviewed the budget in coordination with the resource management staff to ensure complete budget execution and prevention of overspending?		
Have you reviewed outstanding PRs?		
Have you ensured that purchase orders for remaining purchases were raised?		
Together with the resource management staff, have you ensured that outstanding advances were captured and cleared before the project end date?		
Have you reviewed the donor agreement for instructions on asset disposal?		
If required, have you ensured that assets were disposed of in accordance with donor instructions?		
Have you ensured that pending payments, obligations, and commitments were finalized?		
Have you ensured that project status was changed to TECO?		
Have you completed the project closure checklist in coordination with the resource management staff?		

	Required	Recommended
<b>Project information management</b>		
Have you ensured that project information related to internal management of the project, to meeting the institutional requirements of the Organization, and to human resource management were appropriately managed?		

## List of Resources

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### Publications

Geyer, Y.

2005 *Project Management: Handbook Series for Community-based Organisations*. Institute for Democracy in South Africa.

International Organization for Migration (IOM)

2010 *Migration Initiatives: Appeal 2010*. IOM, Geneva.

Method 123

2003 *Project Management Guidebook*.

Project Management for Development Organizations (PM-4DEV)

2009 *Fundamentals of Project Management for Development Organizations*.

### Websites

My M&E

[www.mymande.org/](http://www.mymande.org/)

Project Management for Development (PM4DEV)

[www.pm4dev.com/](http://www.pm4dev.com/)

## IOM documents and resources

### IOM bulletins, instructions, and manuals

- IB/53: Quick Reference Guide for IOM’s Human and Financial Management Policies and Instructions
- IN/5: IOM Guidelines and Regulation on the Disposal of Records and Documents
- IN/8: IOM National Professional Officers Programme Rules and Procedures
- IN/15: Standards of Conduct
- IN/19: Guidelines for Internships at Headquarters and Field Missions
- IN/25: Guidelines on Recruitment and Selection of Short-term Professional Staff
- IN/31: Monitoring
- IN/58: Guidelines on Gratis Personnel
- IN/62: Guidelines for the Closure of Large Projects
- IN/65: IOM House Style Manual
- IN/73: Guidelines to the Differences between Individual and Service Provider Contracts
- IN/84: Guidelines for Selection and Employment of Consultants
- IN/90: Policy for a Respectful Working Environment
- IN/124: Software Policy
- IN/138: IOM Data Protection Principles
- IN/142: Policy on Reporting Irregular Practices, Wrongdoing and Misconduct
- IN/161: Close Relatives in the Workplace
- IN/164: REV 1 - IOM’s Policy on Contracts
- IN/168: Procurement Manual for Goods, Works, and Services
- MA/12: Building Bridges with the Media: A Tool-kit for Media Focal Points
- MA/60: GIC Guidelines on Implementing IOM Staffing Policy on Gender Issues
- MA/87: Supervision of Associate Experts
- MA/88: IOM Data Protection Guidelines
- MA/114: Asset Management Module Process Guide
- MA/376: Change Status of Project – Technically Complete (TECO)
- MA/377: The Change of User Status to Technically Complete (TECO) User Guide

**IOM forms and templates**

- Checklist 3: Data protection checklist
- Confidentiality template
- Consultants contract
- Consultants evaluation form
- Consultants information form
- Consultants terms of reference
- IOM generic terms of reference template
- IOM service contract template
- LEG-B.1: Project implementation agreement
- LEG-F.1: Deed of donation
- Newsletter template
- Project information sheet template

**IOM reference materials and thematic guidelines**

- E-Recruitment Manager's Guide
- Staff Regulations and Rules for Employees at Geneva
- Staff Regulations and Rules for Employees in the Field
- Staff Regulations and Rules for Officials

# Module 5

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## REPORTING

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## Questions Answered in Module Five

- What is the standard procedure for and who are the key staff involved in preparing draft narrative and financial donor reports and sending them for review?
- What is the standard procedure and staff responsible for reviewing narrative and financial reports and approving them for submission?
- What are the exceptions to the standard review procedures and in such cases, how should reports be reviewed and approved for submission?
- How should reports be submitted to the project's donor(s)?
- How should project information be managed?

## I. INTRODUCTION TO MODULE FIVE

Read this Module if you are a Project Manager, or a Regional Liaison and Policy Officer (RLPO) or other designated report reviewer and are required to prepare, review, or submit narrative and financial reports to donors. Resource management staff should also read this Module, especially the parts related to financial reporting.



### Information

Reporting is undertaken at different intervals during and after project implementation. It records and communicates information on the project's progress, the results achieved, the constraints encountered and steps taken to overcome or address such obstacles.

The information collected and analysed through donor reporting provides a formal, documented record of the project's progress as measured against the benchmarks and targets set in the Results Matrix, a process that often produces information that improves subsequent project implementation.



### Information

The reporting procedures described in this Module are closely interlinked with the project management and monitoring processes described in Module Four and with the evaluation process described in Module Six.

### I.1 The Importance of Donor Reporting at IOM

Donor reporting includes the preparation, review, revision, and submission of regular reports during the implementation of a project (usually referred to as interim reports, but also called progress, quarterly, annual or periodic reports) and following the completion of a project (final reports). Interim reports present a project's performance during a specific interval of time and assess the progress made towards achieving the project's intended results and outputs in relation to the base-

lines and targets set in the Results Matrix, as well as identifying challenges and actions taken to address them. Final reports provide the donor, IOM (and potentially project partners, UN agencies, and other stakeholders) with an assessment of the project's overall performance, value for money, lessons learned, and recommendations for follow-up, as well as information that can be used for planning future resource mobilization and project implementation strategies.



### Definition

**Donor reporting** is the preparation, review, revision, and submission of regular reports during and after the implementation of a project.

Donor reports generally consist of (a) a narrative description of the activities undertaken, the results achieved, the challenges faced in the implementation of a project, and the corrective actions undertaken; and/or (b) a financial report of project expenditures, funds received, and any remaining balance.



### Information

Donor reporting is almost always a mandatory component of project management. The donor's expectations for reporting including, among other things, the frequency/interval, submission deadlines, mandatory content, and required formats, are normally stated in the contribution agreement signed between IOM and the donor. IOM is therefore contractually obligated to provide the reports as specified in the agreement.

Besides being mandatory in most cases, regular donor reporting can improve the implementation of a project and may contribute to IOM's growing repository of operational knowledge and best practices. Compiling a narrative report requires the Project Manager, other staff, and project partners or key stakeholders, if appropriate, to assess the results achieved to date and compare them to the baselines and targets set out in the project document. Such analysis helps to identify areas in which the project strategy or work plan should be modified.

Financial reports show the amount of project funds that have been spent up to that point in the project's implementation. Analysing the level of expenditure at regular intervals yields the burn rate, and this figure can assist the Project Manager in operational planning. For example, a low burn rate at the midpoint of the project's duration can alert the Project Manager to the need to accelerate the pace of project activities (if possible) or signal the need to liaise with the donor about a possible extension of the project's duration. Thus, both narrative reporting and financial reporting facilitate the effective monitoring of the project's progress, triggering the development and execution of any necessary actions to address challenges in project implementation, in consultation with the donor.

Regular and high quality reports can enhance IOM's relationship with the donor in relation to the current project, as well as more broadly. Donors that are regularly informed on project status are generally more willing to accept budget reallocations, no-cost extensions, and other requests to amend the parameters of the project when they are forewarned about the possible need.

Reporting demonstrates transparency and accountability to donors, while positive experiences with IOM can influence the funding of future phases of a project, or new projects in the same IOM office, elsewhere in the region, and worldwide. Conversely, a poor performance in terms of reporting can have far-reaching consequences. If IOM fails to report or submits consistently weak reports, this can lead to donors' deciding against funding future IOM projects (not only at that particular IOM office, but also elsewhere in the world) and choosing other partners.



#### Information

Poor reporting can take various forms, such as: submitting a donor report after the deadline, particularly if it is significantly late and IOM does not inform the donor about the situation; submitting a draft report to a local donor representative that differs from the final version of the report submitted to the capital; and submitting a report that claims the project had achieved results that cannot be directly attributed to the activities of the project.

## II. HOW TO PREPARE AND DRAFT DONOR REPORTS



### II.1 Standard Procedures for Preparing Narrative Reports



#### Information

Donor reporting is first and foremost your responsibility as Project Manager. While in many IOM offices the resource management staff assists in the preparation of draft financial reports and in some IOM offices, the Project Manager may have the support of other staff, such as the RLPO or Reporting Officer, in the preparation of draft narrative reports, it is still the responsibility of the Project Manager to ensure that the draft donor reports are prepared and sent for review.

The Project Manager is responsible for undertaking the following tasks:

- Reviewing the contribution agreement and any subsequent contract amendments in order to confirm the particular reporting requirements of a given project and the reporting procedures to be followed.
- Confirming the frequency and deadlines for reporting stipulated in the donor agreement. If this information is not explicitly stated in these documents, discuss this issue with the counterpart in the local embassy or other representative of the donor to discuss the issue and agree on reporting requirements. If you are uncertain about how to approach the donor, the Regional Office, the Donor Relations Division (DRD) at IOM Geneva, or the relevant Country Office

with Resource Mobilization Functions (CORMF) can be contacted for assistance. In the absence of any specific guidance on report requirements, submission frequency, or deadlines, it is recommended that you produce at least one interim report at the midpoint of the project's implementation period and one comprehensive final report once project activities have been completed.

- Determining the format for the narrative report. If the donor provides mandatory reporting templates, use them to prepare the narrative report. If no such template is provided, use the IOM narrative reporting template (see Annex 5.1). Do not modify this template unless the donor has provided specific instructions that require additions or adjustments to it and be sure to inform the RLPO or designated report reviewer about such changes.
- If it is specified in the agreement that the narrative report must be prepared in a language other than an IOM official language (English, French, or Spanish), producing short (two to four pages in length) executive summary of the narrative report for internal records. This executive summary should be sent to the appropriate Regional Office, but it does not need to be approved for submission.



### Information

Narrative reports are to be prepared using either the mandatory template provided by the donor or the IOM narrative reporting template.

## II.2 How to Complete the IOM Narrative Reporting Template

The IOM narrative reporting template comprises a project data table and six main sections. Instructions for completing the template are presented below, and the IOM narrative reporting template is attached to this Module as Annex 5.1.

## II.2.a Project Data Table

Complete the project data table with the following details:

- **Project management site and relevant Regional Office:** Specify the IOM office where the Project Manager is located. If the project includes more than one IOM office, specify the IOM office from which the project is being managed. Specify the relevant Regional Office where the donor report will be sent for internal coordination and review.
- **Project period and overall duration:** Enter the project start date and end date, as stipulated in the contribution agreement. If an extension has been granted, indicate the new project end date. After this information, include the project's total duration (i.e., six months or two years) in brackets.
- **Geographical coverage:** Specify the geographical area covered by the project. Include the names of all targeted city(s), region(s), country(s), and/or region(s), as relevant.
- **Project beneficiaries:** Specify the groups who benefit from the project. To the extent possible, disaggregate the beneficiaries by age, gender, and other key characteristics, such as unaccompanied minors, persons with a disability, female-headed households, former-combatants, etc.
- **Project partners:** Insert the names of the project's partners. Remember that a project may have many more stakeholders than partners. Be sure to write out the full names for any acronyms used.
- **Project identification and contract numbers:** Insert the IOM project identification and, if the donor has a project identifier such as a contract number, include this as well. Be sure to clearly identify each one.

- **Reporting period:** Enter the period the report covers, distinguishing between the narrative and financial dates, if necessary. For example, in some cases the narrative report may cover only a specified period of the project, while the financial report may be cumulative from the beginning of the project.
- **Date of submission:** Insert the date the report is being submitted to the donor. (It is recommended that you wait until the report review and revision process has been completed before inserting the date.)
- **Total confirmed funding:** List the total funding pledged for the project. If multiple donors have funded the project, clearly list each contribution in a common currency (preferably USD). If the continuation of the project is funded by the same donor, clearly state the contribution for each phase.
- **Total funds received to date:** Indicate the total amount of funding that has already been received for the project. If there are multiple donors to the project, clearly specify the amount that has been received from each individual donor.
- **Total expenditures:** Insert either the total cumulative expenditures or the total expenditures during the reporting period, depending on donor specifications. This information should come from the financial report once it has been cleared for submission by the appropriate reviewer.

## II.2.b Summary of Key Achievements During Reporting Period

In this section, summarize the objective that the project aims to achieve, the progress made in achieving the results as specified in the Results Matrix, and the main activities that were implemented during the reporting period.

## II.2.c Progress Made Towards Realizing Project Outcomes and Outputs

*(Note that reporting on the outcome level is mandatory for final reports)*

This section should include a summary of the progress made towards accomplishing the project's outputs and/or outcomes as compared to or measured against the indicators, baseline and milestones established in the Results Matrix. If any results were not as originally envisaged, describe the reasons for the change and elaborate on any new indicators established. Describe the activities that have been undertaken to achieve the outputs, and, using the established indicators, measure the progress made towards achieving the remaining outputs.



### Information

Note that different terms may be used by different donors to describe and monitor a project's progress. For example, progress may be referred to as *pace of action* or *cumulative progress*. No matter what term is used, they all refer to the advances or steps that have been made from the baseline towards achieving the target.

This section is composed of a narrative component and a table, each of which is designed to present certain kinds of project information and progress achieved during the reporting period.

In this section, describe the project activities that have been implemented and the outputs, as well as the outcomes, when appropriate (required in final reporting) that have been realized during the reporting period. As previously mentioned, this section includes a table for reporting progress against the indicators, baseline and target(s) set for project activities, outputs and outcomes (as stated in the Results Matrix in the project document) and narrative text focused mainly on describing project strategy, more details on activity implementation and cross-cutting issues.

**Table 5.1: Reporting Table - Progress Achieved Compared to the Results Matrix**

Indicator(s)	Baseline	Target	Progress made during reporting period	Cumulative progress
In this column, include the appropriate indicators established in the Results Matrix and any new indicators that have been established since then.	In this column, include the baseline data, which is the foundation data against which change initiated or caused by the project will be measured by over time.	In this column, insert the targets, which are the benchmarks that the project aims to achieve (should match/be in line with the project document and Results Matrix).	In this column insert information on what was specifically accomplished during the reporting period.	In this column indicate the total progress made till that point from the baseline to the target.
<b>Objective:</b> Insert the objective as stated in the project document.				
<b>Outcome 1:</b> Insert the (first) outcome as stated in the project document.	Insert the indicators as established in the Results Matrix for Outcome 1. Be sure to add any new indicators that have been established subsequently.	Insert the target set for Outcome 1, which is the benchmark that the project aims to achieve (should match/be in line with the project document and Results Matrix).	Insert information on what was specifically accomplished during the reporting period towards the realization of Outcome 1.  NOTE: Reporting on outcomes may not be possible in interim reports. When this happens, state this fact in this cell (i.e., "Reporting on progress made towards realizing Outcome 1 is not possible at this time").	Indicate the total progress made till that point from the baseline to the target.  NOTE: This is required for final reports.
<b>Output 1.1:</b> Insert the (first) output as stated in the project document.	Insert the indicators as established in the Results Matrix for Output 1.1. Be sure to add any new indicators that have been established subsequently.	Insert the target set for Output 1.1, which is the benchmark that the project aims to achieve (should match/be in line with the project document and Results Matrix).	Insert information on what was specifically accomplished during the reporting period towards the realization of Output 1.1.	Indicate the total progress made till that point from the baseline to the target.
<b>Activities:</b> List the activities accomplished during the reporting period towards the realization of Output 1.1.				
<b>Output 1.2:</b>				
<b>Activities:</b>				
<b>Outcome 2:</b>				
<b>Output 2.1:</b>				

As appropriate to the project and the framework established in its Results Matrix, use the narrative section to present available information on how cross-cutting issues (that is, gender mainstreaming, environmental sustainability, human rights-based approaches, and sustainability) are being addressed during the implementation of the project (refer to Module One and relevant experts in IOM Headquarters for more detailed guidance).

Also use this section to describe the visibility measures that have been undertaken during the reporting period. Annex any project-related publications and/or documents (brochures, info-sheets, etc) produced during the reporting period as well as any press, Internet articles or other media coverage from the relevant timeframe. If appropriate, incorporate photos taken during project implementation and label them with clear captions with relevant details about the photo. When determining which photos to include, prioritize those that clearly portray a project activity being implemented by IOM staff and/or project partners; preferably some photos will also include visible donor logos. Be sure to check if the donor has any visibility guidelines or terms and also be certain to obtain the appropriate permission of persons in the photos in line with IN/138: IOM Data Protection Principles.

### **II.2.d Challenges Encountered During Implementation and Actions Taken**

In this section, describe any difficulties or delays faced during project implementation. Analyse each of these challenges, assess whether the cause was due to an external or internal factor and describe actions that have been taken in the reporting period or will be taken in the next reporting period to overcome the obstacle(s).

Assess whether project implementation has deviated from the project document, and if so, describe the challenges or obstacles that arose. Then analyse and explain if they are the result of a risk outside of IOM's control, such as a political event or a natural disaster, or if they are due to a flaw or oversight in project design or an internal institutional risk related to fraud, waste or abuse. For example, during project implementation,

it may become evident that some of the beneficiaries' needs were inaccurately assessed or their needs may have changed. Once you have described the situation, discuss the corrective measures or other actions that have been taken, continue to be taken, or are being planned to address and rectify the situation.

Pay attention to tone and word selection in this section. Assess the information objectively and professionally, and avoid assigning individual blame for difficulties faced.



#### Information

Do not delay or attempt to avoid reporting to donors because of problems in project implementation, and never misrepresent the project's status, activities, or expenditures. If you are a Project Manager, contact the relevant Regional Office for help in deciding the appropriate actions to be taken to correct the situation. If you are the RLPO or other designated report reviewer and receive this type of request from an IOM Country Office, first assess the situation, the nature and scope of the problem and proposed responses. When operational expertise is required, consult the appropriate Regional Thematic Specialist (RTS) at the relevant Regional Office and potentially the appropriate Division at Headquarters. For guidance about discussing problems in implementation with the project's donor, consult the Donor Relations Division (DRD) at IOM Headquarters, the relevant CORMF or the Regional Office in Brussels, if appropriate.

If the project is being implemented as described in the project document and is on schedule in meeting its targets within the scope of the budget, state that there were no major obstacles encountered during the reporting period.

## II.2.e Conclusions

In this section, briefly summarize the achievements and contributions of the project during the reporting period, indicate the challenges faced and corrective actions undertaken, and outline the next steps in the project's implementation. For

final reports, include an analysis of the project's relative success in realizing/achieving its expected outcomes and outputs when compared against the indicators established in the Results Matrix.

Use the Conclusions section to summarize actions that were taken to foster the project's sustainability, highlighting any specific examples of its lasting impact. If appropriate, outline any desirable follow-up actions that have come to light over the course of project implementation and recommend possible follow-up programming, subsequent phases of the project being reported on and/or action(s) needed from the affected government or other stakeholders.

### **II.2.f Expenses and Resource Utilization**

The financial report is to be attached to the narrative report as a separate document. This section can be used to provide a narrative description of any issues faced in budget execution or technical issues related to the accounting and reconciliation of expenditures. For example, exchange rate fluctuations may affect the amount of funding available; the burn rate of project funds can vary dramatically and unexpectedly as a result of changes in the operating environment or due to contractual commitments (e.g., performance or delivery of a significant project component or activity has not occurred yet). These types of issues and their current and potential future implications on the project's resource utilization can be presented here.

### **II.2.g Annexes**

List the annexes that are attached to the report, if any. Ensure that the annexes are mentioned in the body of the text at an appropriate place, and that the numbering of the annexes matches their order of appearance.

**Tip****Good Practices:  
Considerations in Preparing Narrative Reports**

Careful attention to the following practices will facilitate the preparation of high quality, clearly presented, professional narrative reports:

- In general, keep interim reports between 5 and 10 pages in length, and comprehensive final reports between 10 and 15 pages. Some donors specify the number of pages they either require or prefer for interim or final reports; be sure to respect these parameters.
- Make reports visually appealing through the inclusion of photographs, graphs, and tables, but ensure that such items are directly relevant to and obtained during the reporting period. For graphs and tables, use clear, concise titles/headings and double-check all calculations and formulas.
- For acronyms, spell out the full title or name of the term followed by its acronym, which can then be used in the remainder of the report. Generally, this should be done only one time per term/acronym.
- If using terms in a language other than the language of the report, provide a translation the first time a term is used and then italicize the term whenever it is repeated in the text. Refer to IN/65: IOM House Style Manual, which usually is helpful in preparing a report.
- Use annexes to elaborate on or illustrate information presented in the main body of the text (such as a human interest story or public information materials) to highlight the positive results of the project. Remember to keep the annexes focused and limited to a reasonable number.
- Keep in mind the different purposes of interim and final reports, and prepare the reports accordingly. Interim reports provide an assessment of progress made during implementation, identify challenges, and detail corrective actions. Final reports assess the project's overall contribution and value for cost in relation to the realization of the project's objective, and provide recommendations and lessons learned, which can contribute to improvements in future programming.

Once you have prepared a narrative report, obtain the appropriate internal approvals at the Country Office level. Send the report to the RLPO or other designated report reviewer at the appropriate Regional Office; also address the email to the Regional Accounting Support (RAS) to follow-up and review the financial report. Send the report before the deadline with sufficient time to allow the review process, which can require several exchanges between the Country Office and the designated report reviewer. Normally, allow two weeks for this process.

When submitting a report to the Regional Office for review, include the following information:

- PRISM project identification or project code
- project name
- project donor
- submission deadline for the report in question
- any additional particular information pertinent to the review of the report (such as language, format used and reasons for deviating from the IOM standard, due date for next instalment of funds, if appropriate).



### Information

IN/138: IOM Data Protection Principles and MA/88: Data Protection Guidelines address common issues such as the exclusion of the names and identities of beneficiaries and other sensitive details when preparing narrative reports. In principle, the personal data and photographs of beneficiaries should not be presented in reports or publications, particularly if they refer to sensitive cases or vulnerable individuals such as trafficked persons. Only cumulative data sets that contain non-personal or anonymous aggregate data should be included; there is no need to provide personal data or sensitive case specific details. If donor requirements include full disclosure, written consent should be obtained from vulnerable individuals or their legal guardians, and the report should be disclosed under strict conditions of confidentiality. For less vulnerable cases, if written consent is not possible, at the very least beneficiaries should be informed and agree to the intended use and disclosure of their personal data (names, photographs, and so forth).

It is advisable to obtain written consent for the transfer of any personal data to all foreseeable third parties (that is, donors and other relevant stakeholders) at the time of data collection as this will obviate the need to obtain consent at a later date.

### II.3 How to Prepare Financial Reports and Related Documentation

A financial report summarizes the contributions received and the expenses incurred for a project's activities during a specified period of time.

If the donor requires a financial report in a format other than IOM financial reporting template, special sponsored programmes will have to be created and this will form the basis of the financial report.



#### Information

All financial reports are to be prepared using either the IOM financial reporting template by grouping the standard sponsored programmes or using special sponsored programmes if the donor has stipulated a different financial reporting format.

When preparing the financial report, you can access up-to-date financial information from PRISM provided the relevant information has been properly maintained in the system. This information is the basis for the preparation of the financial report. When preparing interim or final financial reports, consider the reporting timeframe, requests for payments, and the reconciliation of reports. It is important to keep in mind that financial data for the current month will not include costs related to terminal emoluments or overhead until the accounts are closed (usually 12 working days after the end of the month).



#### Definition

**Reconciliation** is an accounting process used to compare two sets of records to ensure that figures are in agreement and are accurate.

## II.4 Reporting Timeframes

The timelines and deadlines for the submission of reports are usually established in the contribution agreement. If they are not, establish these timeframes and other report requirements in discussion with the donor as early as possible in project implementation. The reporting timeframes and the amount of time IOM needs to prepare the financial reports depend on whether the report is an interim or a final report.

### Interim Financial Reports

Unless different requirements are stipulated by the donor, interim financial reports are usually cumulative, meaning that they include project expenditures from the project's inception through the end of the reporting period, or they can report on a specific and limited period of time, such as three or six months. To ensure that all expenses incurred during the reporting period are captured, a minimum of six weeks is required from the end of the reporting period to the time that the report is to be submitted. This will allow for all expenses to be captured in PRISM and therefore reflected in the financial report. This timeframe will also allow for sufficient time for the coordination and review of the report.

### Final Financial Reports

These reports cover the entire period of project implementation, from the start date to the end date. Final reports are cumulative, in the sense that all of the project's expenses (and contributions) are reported. A minimum of two months is required between the project end date and the date that the final report is to be submitted, but three months are preferable. This will allow enough time to record all expenses incurred, and complete the project closure procedures, as well as adequate time for the review and coordination of the final financial report.



#### Information

Do not use the period between the project end date and the report due date to initiate new expenses or to complete project activities unless this has been approved by the donor in advance.

## II.5 Requests for Payment

In addition to monitoring and reporting on the project's expenses, the Project Manager is responsible for ensuring that funds are received from the donor as agreed, and that project expenditures do not exceed the funds received. This information is available in PRISM, as described in Module Four; additionally the Country Office's resource management staff can provide assistance in confirming the receipt of funds, if required. Typically, a portion of the total budget amount is transferred to IOM at the beginning of a project, with additional payments made over the course of project implementation. In some cases, the payment of these additional instalments depends upon the donor's receipt and approval of a specified report.

When preparing interim reports, ensure that the instalments have been received on schedule and check if any instalments are due. If instalments are due, submit a request for a transfer of funds or request for payment to the donor. If the donor does not specify a form or other documentation to make such requests, use the IOM standard request for payment form (see Annex 5.5). Submitted payment requests must be forwarded to Revenue ([revenue@iom.int](mailto:revenue@iom.int)) in Manila Financial Services so that the receivable from the donor can be registered. Such payment requests are often shared with the donor as part of a report package, generally mentioned within the cover letter. If this is the case and submission of the report is not the responsibility of the Country Office, the Project Manager must inform the RLPO, designated report reviewer and/or relevant IOM office to ensure the payment request is included in the reporting package and noted on the cover letter.

## II.6 Reconciliation of Reports

In case there is a difference between PRISM and the financial report, a reconciliation must be prepared in order to support the financial report and correct the categorization of expenses for any later queries and audits.

If the balances differ, provide a full reconciliation between the report and PRISM. The preparation of the final financial report must consider the clearance of any pending amounts not yet expensed to the project (such as travel or operational advances, or down payments to suppliers) or the disposal or transfer of assets, if necessary. The financial report, financial reporting checklist and reconciliation form (see Annexes 5.2, 5.3. and 5.5) must be sent to RAS for verification.

## II.7 Special Circumstances in Preparing Reports

There are additional factors to consider when preparing reports for projects implemented under particular conditions, such as:

- multi-donor projects;
- single contribution agreements used in multiple projects;
- reports in a currency other than USD.

### II.7.a Reports on Multi-donor Projects

Some projects are funded by more than one donor. The reports on such projects are either global, which means that they report on all the activities, results, and expenses of the project, or specific to one or more particular donor.

When global reports are issued to all of the project's donors, give due consideration to the presentation of each donor's specific contribution in the narrative report. This can be done, for example, by adding a donor-specific explanatory note to a narrative report when submitting it to each of the donors, or by adding a section to a particular donor's copy of the global report. If no such information is provided, consider including a footnote in the narrative report explaining that the activities and results achieved in the project were made possible by multiple contributions. Otherwise, the donor may have an inaccurate perception of the impact of their specific contribution. Make sure to discuss reporting requirements with each project donor when negotiating their individual contribution agreement (see Module 2).



#### Resource

Contact the RLPO or designated report reviewer at the relevant Regional Office for further assistance in determining the best way to report on multi-donor projects.

## II.7.b Reports on Single Contribution Agreements Used in Multiple Projects

At times, a single financial contribution, provided by one donor and governed by one agreement or contract, may be earmarked for several IOM projects. In such a case, the donor needs to receive a collated report from separate narrative and financial reports of all independent projects, accompanied by a cover letter that explains the overall programme response, describing the synergies and links between the different projects – as appropriate to the specific situation.



### Definition

**Earmarking** is the designation of funds for a particular purpose/activity.

## II.7.c Reports in a Currency other than USD

IOM's standard reporting currency is USD and therefore, whenever possible, the financial report is to be prepared in USD to avoid foreign exchange issues. This point should have been negotiated with the donor before the project agreement was signed. In certain circumstances, if funds are received in a currency other than USD and the donor agreement specifically states that the report must be in that currency, the financial report can accommodate this provided that the project currency has been duly setup in PRISM during project creation.



### Information

Reports submitted to the donor are to contain one currency only. Whenever possible this currency should be USD. If the donor requires another currency to be used, consistently utilize this currency in all financial documents.

When using a currency other than USD in reports, show only that currency in all documents submitted to the donor. This includes the budget, the tracking of project expenditures against the budget, and the balance of funds. In this way you will avoid the confusion regarding final balances and exchange differences that can arise from the presentation of figures in both currencies.

### III. HOW TO REVIEW AND FINALIZE DONOR REPORTS



The process of reviewing donor reports requires the participation of the Project Manager, who prepares and sends the narrative and financial reports to the appropriate reviewer, and those involved in reviewing the reports. Both aspects of this process will be discussed in this section. The guidance in this section refers to standard reporting requirements and procedures applicable to the vast majority of IOM donors. Specific guidance on the exceptions to these procedures is provided in the next section of this Module.

#### III.1 Standard Procedures for Reviewing Narrative Reports

As the RLPO or other designated report reviewer, your first responsibility is to analyse the specific characteristics of the project, including the donor/funding agency and any relevant report requirements mentioned in the project agreement to determine the responsible report reviewer and any secondary reviews that may be needed. A secondary thematic or technical review of a narrative donor report can be beneficial in highly specialized projects but it is not usually required. Therefore, carefully consider the need for, and added value of, the additional review, particularly if it would result in the delayed submission of the report to the donor.

If the report is for a project under the responsibility of the Regional Office, the RLPO or designated report reviewer is then responsible for undertaking a comprehensive review of the narrative report, including a substantive, operations-oriented review and a technical check, to ensure the accuracy and coherency of the report. Upon receipt of the report, you are to follow a number of steps. First, download from the Intranet the project document, the donor agreement, any amendments to the project documents, and any previously submitted

reports. Review the donor agreement to determine if there are specific donor reporting requirements. Review the content of the report while paying particular attention to the following points:

- **Grammar and style:** The report should use the grammatical and spelling guidelines established in IN/65: IOM House Style Manual and IN/171: IOM Spelling List.
- **Reporting period:** Ensure that the activities described and the dates given are within the reporting period. Check whether the reporting period covered in the narrative report is the same period covered in the interim financial report. Interim financial reports may be cumulative (that is, they cover the period from the project's inception to the end of the reporting period), while interim narrative reports usually focus on a limited period of time, such as three months. If the two periods differ, note this in the project data section.
- **Consistency and accuracy:** Ensure that the numbers and statistics reported and the calculations made are consistent and accurate.
- **Results chain:** Review the connections between activities and outputs, and between outputs and outcomes. Compare the content of the report to the Results Matrix in the project document to ensure that there are no gaps or oversights in reporting.
- **Financial information:** Compare the financial information provided in the narrative report to the figures in the financial report in order to ensure accuracy. If figures do not match, check the narrative report to see if any explanation is given, and review the correspondence between the Country Office and RAS. Normally, once the financial report has been cleared for submission by RAS, the narrative report is adjusted so the two are consistent.

- **Challenges in implementation and corrective actions taken:** If the report describes problems during project implementation, check that clear explanations have been given regarding how these challenges have been addressed and/or overcome.
- **Modifications:** If significant modifications have been made to the project's planned activities, ensure that the donor has been provided with a thorough justification and the project's workplan has been updated and shared with the donor, if relevant.
- **Sustainability:** Make sure that a clear explanation of the sustainability measures undertaken or planned by the project is included in the report.
- **Synergies:** Ensure that synergies with previous or ongoing projects funded by the donor in question are accurately referenced and explained, including how far the project has been able to build upon or complement previous or ongoing projects.
- **Cross-cutting issues:** Ensure that the report includes information on how the project is addressing and mainstreaming cross-cutting issues, such as the promotion of human rights, sustainability, gender equality, and environmental sustainability.
- **Language:** Make sure the information, including the challenges addressed, is presented in a diplomatic, sensible way that is not detrimental to IOM's relationship with the beneficiary government or country.
- **Data protection:** Ensure that no personal data of beneficiaries are included in donor reports. If names, photographs, or other identifiable factors are included, check with the Project Manager to see if the beneficiaries had provided explicit consent to share and disclose their personal data with donors and relevant third parties. Usually, position titles, rather than individual names, are sufficient.

If you require assistance in technical aspects of the substance of the report, refer to the appropriate RTS in your Regional Office.

Once you have reviewed the report, return it to the Project Manager with your comments, suggestions, and revisions. If you are proposing changes to the report, indicate to the Project Manager the changes that must be made in order for the report to be approved for submission to the donor, and the changes that are recommended but not mandatory. Continue corresponding with the Project Manager until you are satisfied with the quality of the report.



#### Information

The RLPO or other designated report reviewer is to clearly notify the Project Manager via e-mail when the narrative report is approved for submission.

### III.2 Standard Procedures for Reviewing Financial Reports

After the Project Manager has prepared the draft financial report, it is to be closely checked by the resource management staff. Once he or she has cleared the report, the Project Manager should send the financial report to RAS for review and approval for submission. After this initial communication, the Project Manager and RAS will communicate directly, but keep the RLPO or other designated report reviewer in copy. Make every effort to send the draft narrative report together with the draft financial report for review; however if one report is ready significantly earlier than the other, the Project Manager can send them separately, noting this fact in the cover email.

RAS will verify that the following checks were made by the country office resource management staff:

- the appropriate financial reporting template is used;
- all costs have been properly registered in PRISM and both accounting records and the report are duly reconciled;
- the report is based on the most recent version of the budget;
- the correct exchange rate is used;
- all costs are charged within the project implementation period.



#### Resource

The IOM financial reporting checklist is available on the IOM Intranet and as Annex 5.4 in the Handbook.

Once the financial report has been reviewed and approved for submission by RAS or ACO, it will be returned to the Project Manager. It should be signed by the IOM official responsible for the project, usually the Project Manager, Chief of Mission, or Regional Director. This signed version is then scanned and included in the reporting package for submission to the donor.

## IV. EXCEPTIONS TO STANDARD REPORT REVIEW PROCEDURES

As the RLPO or other designated report reviewer, one of the first steps in your analysis when you receive a draft report for potential review is to determine whether the report and project in question falls into one of the following categories of exceptions. If so, forward the report to the appropriate IOM office or Division in Headquarters and inform the Project Manager. If you are unsure about the procedures to follow, consult with the RLPO or designated report reviewer at the Regional Office or Donor Relations Division in IOM Headquarters.

## Exception 1: Reports for the Government of the United States

The main funding sources within the Government of the United States are the: United States Agency for International Development (USAID), the Bureau of Population, Refugees, and Migration (PRM), the Office to Monitor and Combat Trafficking in Persons, the Bureau of International Narcotics and Law Enforcement Affairs (INL), and the Bureau of Western Hemisphere Affairs.

Project reporting procedures specific to the Government of the United States depend on the type of funding mechanism employed by these funding sources. Different funding mechanisms may have different reporting timelines, templates, and submission methods, although most require quarterly reports. Check the project agreement carefully and seek clarification from CORMF Washington on reporting timelines and deadlines as required.

For projects funded by the Government of the United States, narrative project report review responsibilities are shared between the RLPO or other designated report reviewer and CORMF Washington. The RLPO or other designated report reviewer is responsible for reviewing and approving the substantial content of narrative reports, while CORMF Washington is responsible for reviewing the narrative report to ensure that the technical, donor-specific requirements are met. Final approval for submission is the responsibility of the RLPO or designated report reviewer. Project Managers should consult with CORMF Washington for detailed guidance about the review and eventual approval for submission of financial reports for projects funded by the Government of the United States.

## Exception 2: Reports for the European Union

The main European Union entities funding IOM are the Directorate-General for Development and Cooperation – Europe-Aid, the Directorate-General for Humanitarian Aid and Civil Protection,<sup>1</sup> the Directorate-General for Home Affairs,

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<sup>1</sup> The Directorate-General for Humanitarian Aid and Civil Protection has its own specific fast-track application procedures distinct from all other European Union entities.

the Directorate-General for Employment, Social Affairs and Inclusion, the Directorate-General for Health and Consumers, the Directorate-General for Justice, the Directorate-General for Enlargement, the Directorate-General for Research, the European External Action Service, the European Parliament, and the European Union Member States. The European Union has various reporting templates, which differ according to the funding institution.

Reporting timelines depend on the provisions of the contract and may vary according to the contracting rules and procedures of the individual European Union funding institution or European Union Member State. In addition to the standard reporting requirements specified in the contract, if IOM requests an amendment to a contract during its implementation, a narrative and/or financial report (as applicable) is usually required.

In general, the European Union requires the following narrative reports:

- inception reports
- flash reports (to be drafted every four months and sent by e-mail)
- progress/interim reports
- final reports.

The Regional Office in Brussels is responsible for reviewing all narrative and financial reports prepared for projects funded by the European Union centrally (those that are awarded and managed by the European Union headquarters in Brussels). Decentralized projects (those that are awarded and managed by the European Union delegations in the country/region in which the project is being implemented) and shared management projects (those that are awarded and managed by European Union Member States) are reviewed by RAS and the relevant Regional Office.

For centralized projects, the Project Manager submits the financial report to the Regional Office in Brussels for verification that the report complies with the relevant European Union reporting requirements. Once processed by the Regional Office in Brussels, final financial report should be submitted to RAS for review and eventual approval for submission. Project Managers should consult with RO Brussels for detailed guidance

about how interim financial reports are to be handled. The review of narrative project reports is a responsibility shared between RLPO in the relevant Regional Offices and the Regional Office in Brussels. RLPO is responsible for reviewing and certifying the substantive content of narrative reports, while the Regional Office in Brussels is responsible for reviewing the technical and donor-specific requirements.

For decentralized and shared management projects, the financial report is submitted to RAS for review and eventual approval for submission, while the relevant Regional Office is responsible for endorsing the narrative report. The Regional Office in Brussels, within its global responsibilities, provides advice on reporting specifics if requested by RAS or the respective Regional Offices.

### Exception 3: IOM Development Fund

For IOM Development Fund projects, both narrative and financial reports are to be reviewed according to the standard procedures previously described. Once approved by the RLPO or other designated report reviewer and RAS, the narrative and financial reports are to be sent to the IOM Development Fund for final review and approval for submission.

### Exception 4: Donor Relations Division

As described in Module Three, there are a number of circumstances in which a project proposal is endorsed by Headquarters rather than in the Regional Office including: proposals that cover more than one region; proposals developed by a Regional Office; and proposals developed by a Thematic Specialist in a Division at Headquarters.

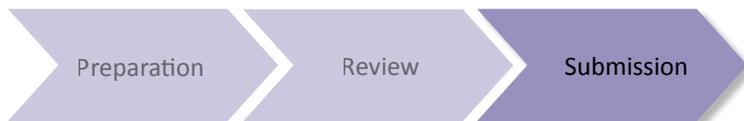


#### Resource

Keep in mind that DRD can also be contacted at [drd@iom.int](mailto:drd@iom.int) for guidance and advice on a range of issues related to correspondence and interactions/liaisons with donors.

In all such cases and for projects implemented or managed by Headquarters, narrative reports are to be reviewed and approved for submission by the Donor Relations Division (DRD) in Headquarters. Financial reports are to be reviewed by ACO for projects managed by Headquarters, while financial reports for other projects managed by the field are to be reviewed by RAS irrespective of where the project proposal's endorsement occurred.

## V. HOW TO SUBMIT REPORTS



Once the procedures for preparing and reviewing the narrative and financial reports have been completed and approved for submission, the report package is ready for submission to the donor. The four main submission channels to the donor are through Country Offices, CORMF, the Regional Office in Brussels, and via a Division in Headquarters. Each is discussed in turn below:

- **Submission by Country Offices:** Country Offices are responsible for submitting reports to the donor if funding for the project was obtained locally. This includes decentralized and shared management projects funded by the European Union and decentralized USAID-funded projects.
- **Submission by CORMF:** In general, CORMFs are responsible for submitting reports for projects funded by the government of the country in which they are located (note that the CORMF Washington is responsible for submitting most reports for the majority of the funding sources with the Government of the United States).
- **Submission by the Regional Office in Brussels:** The Regional Office in Brussels is responsible for submitting reports for centrally managed projects to the European Union headquarters in Brussels.
- **Submission by Headquarters:** In general, DRD is responsible for submitting reports to the relevant Permanent Missions in Geneva for projects whose agreements were coordinated and signed in Geneva or when otherwise requested by the donor. For IOM Development Fund projects, reporting packages are submitted by the IOM Development Fund at Headquarters to the relevant Permanent Missions in Geneva.

## V.1 Procedures for Submitting Reports

First, the Project Manager should determine the appropriate submission channel. If you are uncertain of the appropriate channel, request assistance from the RLPO or designated report reviewer or, if appropriate, the CORMF, the Regional Office in Brussels, or DRD. Next prepare the submission package, making sure to use the versions of the reports that were approved for submission. Be sure to check the formatting of all documents and remove all tracked changes and other editorial markings. Ensure the financial report has been signed by the appropriate IOM official. Keep a soft/electronic copy of the entire report for internal distribution and office archives and knowledge management purposes.

Lastly, ensure the preparation of an appropriate cover letter and submission of the reporting package. If the report is being submitted by a different office, follow up as required to ensure that the report is submitted in a timely manner.

Once the report has been submitted to the donor, further circulate the final reporting package internally and externally. It is the responsibility of the office that submitted the report to circulate the final reporting package, but it is your responsibility as Project Manager to ensure that this step has been completed. The following offices and units are to receive copies of the reporting package:

- Country Office(s) in which the project was implemented;
- Project Information Unit (PIU), who will upload the reporting documents into the Intranet;
- RLPO or designated report reviewer at the Regional Office;
- DRD at Headquarters, who may be asked to share a courtesy copy with the donor's Permanent Mission in Geneva;
- CORMF (if relevant);
- Regional Office in Brussels (if relevant);
- relevant Division at Headquarters (if appropriate).

The Country Office and the Regional Office may then share the submitted narrative report with the local and regional counterparts as appropriate. Generally, financial reports are not shared externally. For projects funded by the IOM Development Fund, Country Offices are encouraged to share project reports with the relevant government counterparts once the final reporting package has been officially submitted.



#### Information

Do not circulate the report until after it has been submitted to the donor, and always ensure that the version of the report that is being circulated is the exact same version that had been submitted to the donor. The improper circulation of different versions of a report can cause great confusion among IOM offices and undermine IOM's credibility with the donor.

## VI. PROJECT INFORMATION MANAGEMENT

During the reporting process, the Project Manager prepares the draft narrative and financial reports, and the project reviewer and RAS review these reports and, when satisfied with their content, approve them for submission. Reports are then submitted to the donor through the appropriate channels. Once finalized, these documents are uploaded by PIU to the Intranet. The information that needs to be captured is already contained within the narrative and financial reports for potential future analysis by the Divisions at Headquarters or other relevant officials to assess emerging trends and identify successful project models that could possibly be replicated elsewhere.

**Table 5.2: Information Management in Reporting**

Information/ Documents	Party responsible	Process	Purpose
Draft narrative report (interim or final) and supporting documentation	Project Manager	Project Manager submits to the RLPO or other designated report reviewer for review after internal office coordination.	Meets institutional requirements for review and clearance of reports to donors.
Financial report (interim or final) and supporting documentation	Project Manager	Project Manager submits financial report to resource management staff.	Meets institutional requirements for review and clearance of reports to donors.
	Resource management staff	Resource management staff review the financial report for internal office coordination before it is sent for review.	Ensures report reflects PRISM financial data.
Approved versions of narrative and financial reports and supporting documentation	Project Manager	Once reports have been reviewed and are ready to be submitted to the donor, the Project Manager submits final reporting documentation to PIU.	Institutional record keeping and information sharing.
	PIU	PIU uploads approved reporting documentation to the Intranet. For completed projects, PIU advises the PRISM Central Support Team.	For completed projects: project's status is updated to "completed" on the Intranet. Project's status must also be changed in PRISM.



## Tool 5.1 Reporting Checklist

	Required	Recommended
<b>Preparation of reports</b>		
<b>Standard procedures for preparing narrative reports</b>		
Has the Project Manager reviewed the contribution agreement and any amendment documents for information on reporting requirements and procedures?		
Has the Project Manager established narrative reporting deadlines with the donor?		
Has the Project Manager prepared the narrative report in the appropriate template?		
<b>Standard procedures for preparing financial reports</b>		
Has the Project Manager established financial reporting deadlines with the donor?		
Has the Project Manager monitored income to ensure that instalments due have been received?		
Has the Project Manager prepared, in coordination with the resource management staff, the financial report in the appropriate template?		
Has the Project Manager, in coordination with the resource management staff, completed the Financial Reporting Checklist, which will be submitted with the financial report when it is sent for review?		

	Required	Recommended
If required, has the Project Manager prepared a request for payment?		
Has a reconciliation of reports been completed?		
<b>Special circumstances in preparing reports</b>		
In cases of multiple donors to a project, has the Project Manager accurately reflected the contribution of each donor in the report?		
In cases of a single contribution agreement used in multiple projects, has the Project Manager prepared separate reports for submission under a single cover letter?		
In cases of reports in a currency other than USD, has the Project Manager prepared the report in a single currency only?		

**Review and finalization of reports**

**Standard procedures for reviewing narrative reports**

Has the Project Manager received appropriate clearances from the Country Office to submit the report?		
Has the Project Manager submitted the report to the RLPO or other designated report reviewer together with all the required information?		
Has the RLPO or other designated report reviewer downloaded all relevant project documentation from the Intranet?		

	Required	Recommended
Has the RLPO or other designated report reviewer reviewed the donor agreement for any specific reporting requirements?		
Has the RLPO or other designated report reviewer determined the appropriate review process: standard, shared (usually for projects funded by the European Union or US Government), or exceptional?		
Has the RLPO or other designated report reviewer reviewed the report?		
Has the RLPO or other designated report reviewer indicated to the Project Manager any revisions or improvements that are required?		
Has the Project Manager completed the required revisions and improvements?		
Has the RLPO or other designated report reviewer approved the report for submission to the donor?		
<b>Standard procedures for reviewing financial reports</b>		
Has the Project Manager received appropriate clearance from the Country Office resource management staff to submit the financial report and financial reporting checklist for review?		
Has the resource management staff submitted the report to RAS, keeping the Project Manager and the RLPO or other designated report reviewer in copy?		

	Required	Recommended
Has RAS reviewed the report?		
Has RAS indicated to the resource management staff any revisions or improvements that are required?		
Has the Project Manager, in coordination with the appropriate resource management staff, completed the revisions and changes required by RAS to enable the report to be approved for submission?		
Has the RLPO or other designated report reviewer approved the narrative report for submission to the donor after cross-checking the financial data references with the RAS-approved financial report to ensure consistency?		
Has the Project Manager signed the financial report and sent it to the RLPO or other designated report reviewer at the Regional Office?		

**Exceptions to standard report review and approval for submission**

For projects funded by the Government of the United States, has CORMF Washington reviewed the narrative report to ensure that technical donor-specific requirements for reporting have been met after the substantive review has been conducted by the RLPO or designated report reviewer at the Regional Office?		
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	Required	Recommended
For projects funded by the Government of the United States, has RAS reviewed and approved the financial report for submission, when appropriate?		
For projects funded by the European Union, has the Regional Office in Brussels verified that the narrative report complies with relevant European Union reporting regulations after the substantive review has been conducted by the RLPO or other designated report reviewer at the Regional Office?		
For projects funded by the European Union (with centralized or decentralized management), has RAS reviewed and approved the final financial report in coordination with RO Brussels as appropriate?		
For projects funded by IOM Development Fund, has the IOM Development Fund conducted a final review and submitted the report?		
For projects that were either implemented or endorsed by Headquarters, has the Donor Relations Division reviewed the narrative report and approved it for submission?		
For projects that were managed by Headquarters, has ACO reviewed the financial report and approved it for submission?		

	Required	Recommended
<b>Submission of reports to donors</b>		
In consultation with the RLPO or other designated report reviewer, has the Project Manager determined the submission channels for the report?		
<b>Project information management</b>		
Has the Project Manager submitted the narrative and financial reports to the RLPO or other designated report reviewer and RAS for review and approval for submission?		
Has the office submitting the report circulated the final reporting package to the Country Office, PIU, the Regional Office, a CORMF, RO Brussels, DRD and the relevant Division at Headquarters?		

## List of Resources

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### **IOM documents and resources**

#### **IOM bulletins, instructions, and manuals**

- IN/65: IOM House Style Manual
- IN/138: IOM Data Protection Principles
- IN/171: IOM Spelling List
- MA/88: IOM Data Protection Guidelines

#### **IOM forms and templates**

- IOM financial reporting template
- IOM narrative reporting template

#### **IOM reference materials and thematic guidelines**

- Donor financial reporting checklist
- IOM narrative report reviewer's checklist

## Annex 5.1 IOM Narrative Reporting Template

 International Organization for Migration (IOM) Organisation internationale pour les migrations (OIM) Organización Internacional para las Migraciones (OIM*)	
<b>[Final/Interim] Report to [DONOR]</b> <b>[PROJECT TITLE]</b>	
<b>PROJECT DATA TABLE</b>	
Executing Organization:	International Organization for Migration (IOM)
Project Identification and Contract Numbers:	<i>Insert the IOM project identification. If the donor has a project identifier such as a contract number, include this here as well. Be sure to clearly identify each id/number listed.</i>
Project Management Site and Relevant Regional Office	<i>Specify the IOM office where the Project Manager is located and the relevant Regional Office (where the draft donor report is sent for internal coordination and review)</i>
Project Period and Overall Duration:	<i>Enter the project start date and end date, as stipulated in the contribution agreement. If an extension has been granted, indicate the length of the extension granted and the new project end date. Please sure to include in brackets the project's total duration (i.e., 6 months)</i>
Geographical Coverage:	<i>Specify the geographical area covered by the project. Include city, region, country, and/or international region as relevant.</i>
Project Beneficiaries:	<i>Specify the groups/communities who benefit by the project. To the extent possible, disaggregate the beneficiaries by age, gender, and other key characteristics, such as unaccompanied minors, persons with a disability, children, and ex-combatants.</i>
Project Partner(s):	<i>Insert the names of the project partners, who actively contribute to and/or take part in project operations.</i>
Reporting Period:	<i>Enter the period the report covers, distinguishing between the narrative and financial dates, if necessary.</i>
Date of Submission:	<i>Insert the date the report is being submitted to the donor.</i>
Total Confirmed Funding:	<i>List the total funding pledged for the project. If multiple donors have funded the project, list each contribution by donor using in a common currency (preferably United States dollars).</i>
Total Funds Received to Date:	<i>Indicate the total amount of funding that has already been received by IOM for the project. If there are multiple donors, clearly specify the amount that has been received by IOM from each donor.</i>
Total Funds Received To Date:	<i>Indicate the total amount of funding that has already been received by IOM for the project. If there are multiple donors, specify the amount that has been received by IOM thus far from each donor.</i>
Total Expenditures:	<i>Insert either the total cumulative expenditure or the expenditure during the reporting period, depending on donor specifications. This information should come from the financial report once it has been cleared for submission by the appropriate reviewer (Regional Accounting Services or the Accounting Division).</i>

## 1. SUMMARY OF KEY ACHIEVEMENTS DURING THE REPORTING PERIOD

*In this section, summarize the objective that the project aims to achieve, the progress made in achieving/contributing to the realization of the outputs and outcomes (as appropriate) specified in the results matrix, and the main activities that were implemented during the reporting period.*

## 2. PROGRESS MADE TOWARDS REALIZING PROJECT OUTCOMES\* AND OUTPUTS [\*MANDATORY FOR FINAL REPORTS]

*In this section, describe the project activities that have been implemented and the outputs, as well as outcomes, when appropriate (required in final reporting) that have been realized during the reporting period. This section includes a table for reporting progress against the indicators and targets set for project activities, outputs and outcomes (as stated in the Results Matrix in the project document) and narrative text focused mainly on describing project strategy, more details on activity implementation and cross-cutting issues. Additional guidance provided below on the appropriate content for each.*

*Avoid repetition or duplicated information. In other words, if something is stated in the table, it normally does not need to be repeated in the narrative.*

*In the table include:*

- *For each output included in the results matrix/project document, the table will present: 1) a measurement of the progress towards the complete achievement of each project output vis-à-vis each relevant indicator and baseline; and 2) a brief description of the activities that have been undertaken to achieve the aforementioned progress towards the output.*
- *an analysis and explanation of outcomes realized during project implementation. (Note this is required for final reports but may not always be possible in interim reports.)*

*In the narrative include:*

*(Use sub-sections to organize large amounts of information):*

- *Explanation of project strategy and more details on the implementation of activities leading to progress or realization of project outputs.*
- *Be sure to clearly indicate activities conducted jointly with project partners as well as project components fully implemented by project stakeholders, consultants, and partners, summarizing the coordination mechanisms used to share information and synchronize plans.*
- *A description of changes to indicators, if relevant, including an explanation of the reasons for the change(s) and the new indicator(s) that have been established.*
- *Information and analysis on how cross-cutting issues have been addressed during the reporting period (for interim reports) and throughout project implementation (for final reports) Consider: gender mainstreaming, environmental impact, utilization of human rights-based approach, and overall project sustainability and any other relevant considerations.*
- *Information on visibility measures that have been taken during project implementation. Incorporate photos of project operations/activities, potentially including the donor's logo. (Be sure to check if the project donor has visibility guidelines or required specifications/standards for how their logo is portrayed.)*
- *Attach as annexes any project-related publications and press articles, and, if appropriate.*

Table 2.1: Progress Achieved Compared to Indicators in the Results Matrix					
	Indicators	Baseline	Target	Progress made during reporting period	Cumulative progress
	<i>In this column, include the appropriate indicators established in the Results Matrix and any new indicators that have been established since then.</i>	<i>In this column, include the baseline data, which is the foundation data against which change initiated or caused by the project will be measured by over time.</i>	<i>In this column, insert the targets, which are the benchmarks that the project aims to achieve (should match/be in line with the project document and Results Matrix).</i>	<i>In this column insert information on what was specifically accomplished during the reporting period.</i>	<i>In this column indicate the total progress made till that point from the baseline to the target.</i>
<b>Objective:</b> <i>Insert the objective as stated in the project document.</i>					
<b>Outcome 1:</b> <i>Insert the (first) outcome as stated in the project document.</i>	<i>Insert the indicators as established in the Results Matrix for Outcome 1. Be sure to add any new indicators that have been established subsequently.</i>	<i>Insert the baseline data relevant to Outcome 1, which is the foundation data against which change initiated or caused by the project will be measured by over time.</i>	<i>Insert the target set for Outcome 1, which is the benchmark that the project aims to achieve (should match/be in line with the project document and Results Matrix).</i>	<i>Insert information on what was specifically accomplished during the reporting period towards the realization of Outcome 1.</i>  <i>NOTE: Reporting on outcomes may not be possible in interim reports. When this happens, state this fact in this cell (i.e., "Reporting on progress made towards realizing Outcome 1 is not possible at this time").</i>	<i>Indicate the total progress made till that point from the baseline to the target.</i>  <i>NOTE: This is required for final reports.</i>
<b>Output 1.1</b> <i>Insert the (first) output as stated in the project document.</i>	<i>Insert the indicators as established in the Results Matrix for Output 1.1. Be sure to add any new indicators that have been established subsequently.</i>	<i>Insert the baseline data relevant to Output 1.1, which is the foundation data against which change initiated or caused by the project will be measured by over time.</i>	<i>Insert the target set for Output 1.1, which is the benchmark that the project aims to achieve (should match/be in line with the project document and Results Matrix).</i>	<i>Insert information on what was specifically accomplished during the reporting period towards the realization of Output 1.1.</i>	<i>Indicate the total progress made till that point from the baseline to the target.</i>
<b>Activities</b> <i>List the activities accomplished during the reporting period towards the realization of Output 1.1.</i>					
<b>Output 1.2</b>					
<b>Activities</b>					
<b>Outcome 2:</b>					
<b>Output 2.1</b>					

### 3. CHALLENGES ENCOUNTERED AND ACTIONS TAKEN

*This section describes and analyses significant difficulties or delays faced during project implementation and summarizes responses, solutions or corrective measures that have been taken, continue to be taken, or are being planned to address and rectify the situation or address the issue of concern.*

*Begin by assessing whether project implementation has deviated from the project document and/or workplan. If so, consider whether the external and/or internal challenges or obstacles that arose. If the difficulty or constraint remains/remained, even after the initial response, describe the subsequent action(s) planned and/or recommended.*

*Analyse and assess whether each issue is the result of a risk outside of IOM's control, such as a political event or a natural disaster, or if the problem is due to a flaw or oversight in project design. For any constraints or delays deemed a result on internal factors, consider carefully if and how they should be conveyed outside of the Organization. For external factors, be sure to pay attention to tone and word selection. Strive to objectively evaluate and describe the key information about a given challenge; avoid assigning individual blame for difficulties faced.*

*If project implementation is proceeding within the parameters and timeframe set forth in the project document and workplan, and is on schedule in meeting its targets within the scope of the budget, then state that there were no major obstacles encountered during the reporting period.*

### 4. CONCLUSIONS

*In this section, briefly summarize the key achievements realized during the current reporting period and outline the next steps in the project's implementation, briefly reiterating – if appropriate - any significant and persistent challenges anticipated to reemerge during the upcoming period.*

*Focus on the future: for interim reports, this means a description of the key activities, outputs and/or outcomes envisioned for the upcoming reporting period. For final reports, note any good practices that emerged and/or lessons that were learned during implementation. If a subsequent phase or follow-up project is proposed, briefly note this development and outline and concisely justify the overall objective envisioned. Be sure to highlight the measure taken by the project to promote the sustainability and/or lasting impact of its intervention(s).*

### 5. EXPENDITURES AND RESOURCE UTILIZATION

**Please see the attached financial report.**

*The financial report is to be attached to the narrative report as a separate document. This section can be used to provide a narrative description of any issues faced in budget execution or technical issues related to the accounting and reconciliation of expenditures such as variances in actual expenses on a given budget line compared to the funds allocated for that purpose.*

*Exchange rate fluctuations may affect the amount of funding available to a project, or the burn rate of project funds can rise or fall dramatically as a result of unforeseen changes in the operating environment such as renewed volatility in an insecure, post-conflict environment or a sudden onset natural disaster in a climate-affected region. These are additional examples of financial information that may not be conveyed through the financial report, which instead can be described here.*

### 6. ANNEXES

*List the annexes that are attached to the narrative report, if any. Ensure that the annexes are mentioned in the body of the text, and that the numbering of the annexes matches their order of appearance. Note that the financial report should not be considered or counted as an annex.*

## Annex 5.2 IOM Financial Reporting Template



International Organization for Migration (IOM)  
 Organisation internationale pour les migrations (OIM)  
 Organización Internacional para las Migraciones (OIM)

**PROJECT TITLE**  
**[INTERIM/FINAL] FINANCIAL REPORT**  
**for the period from [xxx] to [xxx]**

**USD**

**CONTRIBUTIONS**

Government of [country] [date of contribution] [currency of receipt if not USD]

**Total resources**

0

**EXPENSES**

**Budget**

Staff costs  
 Travel  
 Supplies, Commodities, Materials  
 Equipment, Vehicles and Furniture  
 Contractual Services  
 Transfer of Grants  
 General Operating and Other Direct Costs  
 IOM Overhead (x%)

**Total expenses**

0

0

**Balance of resources carried forward/due to IOM at [date]**

**USD 0**

*As the responsible project manager, I certify that the financial and narrative reports are correctly stated in accordance with IOM internal rules and procedures.*

\_\_\_\_\_  
**[name]**  
**[title]**  
**[day/month/year]**

## Annex 5.3 Narrative Report Reviewer's Checklist



International Organization for Migration (IOM)  
Organisation internationale pour les migrations (OIM)  
Organización Internacional para las Migraciones (OIM)

## SUMMARY TABLE

REPORT SUBMITTED BY:	
COUNTRY OFFICE:	
DATE:	
PROJECT TITLE/NAME:	
IOM PROJECT CODE/ID:	
DONOR(S):	
TYPE OF REPORT (INTERIM OR FINAL OR MISC OTHER):	
REPORT DEADLINE:	
REPORT RECEIVED BY:	
REVIEW PROCESS:	
WHAT IS THE APPROPRIATE INTERNAL REVIEW CHANNEL FOR NARRATIVE REPORT – STANDARD, SHARED OR EXCEPTIONAL?	<p><b>Standard:</b> <input type="checkbox"/> Report is for a project funded by a donor that does not need a technical check. RO RLPO or designated reviewer is solely responsible for reviewing the narrative report. Continue the process</p> <p><b>Shared:</b> <input type="checkbox"/> Report is for a project funded by the US Government (GTIP, INL, OFDA, PRM, USAID, etc) or the EU (centralized management) RO report reviewer should first review the narrative, send back to Project Manager/CO for revision; RO reviewer receives revised narrative (version 2) and forwards report to correct IOM office for technical check</p> <p>Sent narrative report to (select one): <input type="checkbox"/> RO Brussels <input type="checkbox"/> CORMF Washington or <input type="checkbox"/> other (specify) _____</p> <p><b>Exceptional:</b> <input type="checkbox"/> Report is for a project that falls into one or more of these categories: a) project proposal was endorsed at HQ, b) global projects (like World Migration Report, IDM, USRAP, etc); c) multi-regional projects (involving two or more ROs); or d) unearmarked contribution or pooled funds used in an emergency context. Inform Project Manager and forward report to DRD Reporting Services for review</p>
WHICH REGIONAL ACCOUNTING FOCAL POINT (RAF) IS RESPONSIBLE FOR REVIEWING THE FINANCIAL REPORT?	<p>Sent draft financial report sent to: <input type="checkbox"/> RAS _____, <input type="checkbox"/> RO Brussels or <input type="checkbox"/> ACO</p> <p>Date forwarded: Comment:</p>
RO REVIEW OF NARRATIVE REPORT COMPLETE; REVIEWER'S FEEDBACK IS SENT TO THE PROJECT MANAGER/CO	<p>Date:</p> <p>Mandatory changes required to receive approval:</p> <p>Follow-up / Second of review of revised narrative required: <input type="checkbox"/> Yes <input type="checkbox"/> No Request project manager to resubmit revised report for final clearance and approval for submission.</p> <p>Recommended revisions / other guidance:</p>
FINANCIAL REPORT IS APPROVED FOR SUBMISSION:	Date:
NARRATIVE REPORT IS APPROVED FOR SUBMISSION:	Date:
SUBMISSION TO DONOR:	
DETERMINE CORRECT SUBMISSION CHANNEL (RPLO OR DESIGNATED REPORT REVIEWER WITH PROJECT MANAGER)	<p>Will the report be submitted locally, or via DRD/IOM Geneva or another IOM Office?</p> <p>Specify:</p>
SUBMISSION TO DONOR (BY DESIGNATED OFFICE RESPONSIBLE FOR SUBMISSION)	<p>Submitted electronically _____ or hard copy _____ or both _____</p> <p>Any special points for cover letter: _____</p> <p>Date: _____</p>
INTERNAL DISTRIBUTION:	
ENSURE THAT REPORTING PACKAGE HAS BEEN SHARED WITH ALL RELEVANT IOM OFFICES & DEPARTMENTS (BY OFFICE THAT HAS SUBMITTED REPORT TO DONOR, IN COORDINATION WITH PROJECT MANAGER)	<p>Has a copy of the reporting package been sent to all relevant internal offices/departments: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Date:</p>

GUIDANCE FOR NARRATIVE REPORT REVIEW			
<p><i>Before starting the review:</i> Download from the Intranet (Filenet) the project's donor agreements and any previously submitted reports. Use previous reports to guide the review of the current draft. Ensure consistent format and presentation of project structure.</p>			
GENERAL CONSIDERATIONS:	YES	NO	CHANGES NEEDED / OTHER COMMENTS
Is the standard IOM narrative report template used unless there is a specific template and/or guidelines required by the donor? <i>If not, suggest the necessary adjustments to bring the report format in line.</i>			
Does the project title match the title used in agreement? <i>If not, advise mission to adjust the draft narrative report accordingly.</i>			
Is the report written in English, French, or Spanish? <i>If a different language is used, has a short Executive Summary been prepared and shared with Regional Office? If not, request Project Manager to prepare and submit one to the RO for project records; note that the Executive Summary does not need to be reviewed and approved for submission.</i>			
Does the reporting period correspond with the dates specified in the donor agreement?			
Is the reporting period correctly specified for both the narrative report & the financial report? <i>Note that any past extensions must be indicated &amp; incorporated.</i>			
Is the report clearly written? <i>List any major and/or reoccurring grammatical or editorial problems and specify action to be taken by Project Manager</i>			
Confirm that all activities and outputs described in the report have taken place during the reporting period.			
<b>Summary</b>			
Does the report describe the project framework and main objective? <i>Check against previously submitted reports to ensure consistency</i>			
Does the report summarize in a clear and concise way the key achievements of the project during the reporting period?			
If an interim report, have major activities planned for the next reporting period been described/summarized?			
<b>Progress Made Towards Realizing Project Outcomes and Outputs:</b>			
<b>RESULTS TABLE</b>			
Compare report's Results Table with the Results Matrix in the project document. Ensure consistency			
Does the report present the project's progress and accomplishments during the reporting period in relation to the indicators, targets and baseline data used in the Results Matrix?			
<b>NARRATIVE</b>			
Is the report fully in line with the project document? Are all outcomes, outputs, and activities reported on, as appropriate to the timing of the report? <i>(i.e., interim vs final, especially in terms of outcomes, which often cannot be reported on within an interim report)</i>			
<b>Cross-Cutting Issues:</b> Have cross-cutting issues have been appropriately addressed or otherwise incorporated into the report?			
<b>Visibility:</b> Does the report include any photos? If so, are appropriate captions included?			
Have IOM Data Protection Principles been adhered to (i.e., has the subject in the photo given his/her consent to have his photograph taken and replicated for use in various purposes)?			
<b>Challenges and Actions Taken:</b> Have any obstacles encountered during project implementation been clearly presented and analysed?			
For each obstacle, have IOM responses & follow-up actions been described?			
Have any relevant changes occurred within the project-specific context? <i>If so, have they been described and analyzed in terms of possible effects on the project?</i>			
<b>Conclusions:</b> Have the results achieved during the reporting period (for interim reports) or during the entire project duration (for final reports) been concisely summarized on both the outcome and output levels?			
For final reports, have any lessons learned been identified and explained and if a follow-up phase is recommended, have the proposed key outcomes been introduced?			
<b>Resource Utilization:</b> Does financial data on the narrative report match the information on the endorsed financial report? (total confirmed funding, funding received to date and total expenditures)? <i>Double check the narrative report with the RAS-endorsed financial report to ensure that the figures exactly match.</i>			
Is the financial burn rate in line with the time remaining in the project period? <i>If not, alert Project Manager, ask if remaining funds can be expended within the remaining project time-frame? If not or if uncertain, has the donor been informed?</i>			
<b>Annexes:</b> If annexes are included with the report, confirm that each one has been introduced in the body of the text (i.e., For more info, please see Annex XX) and each annex is listed in this section.			

## Annex 5.4 Financial Reporting Checklist

DONOR FINANCIAL REPORTING CHECKLIST - FOR MISSIONS			
Project ID: _____			
Report period: _____			
Report deadline (if any): _____			
Report is to be submitted locally or via DRD, RO Brussels, or CORMF Washington: _____			
<b>SECTION 1</b>			
GENERAL PROCEDURES		Completed (Yes/No/ Not applicable)	Notes/comments
1	The standard IOM report format has been used (Annex 5.2) unless otherwise stipulated in the donor agreement and correctly titled "Interim" or "Final"?		
2	Period of financial report:		
	a) Period stated agrees to signed agreement or approved extension?		
	b) The period is cumulative from the start of the project?, OR		
	c) The period is that as requested by the donor e.g. six months?		
	d) If an extension has been granted or a budget revision approved, documentation has been forwarded to Project Information Unit (PIU), PRISM Central Support Team (PCST) and Manila Budget Support (MBS)?		
3	Budget (if required by the donor) agrees to the last donor-approved budget submitted to the donor and also to the total funding?		
4	Reporting currency and overhead rate agrees with the approved donor agreement or amendments thereto?		
5	Contributions reported figures are based on actual funding received?		
6	Contributions received, expenses incurred and balance figures agree with PRISM for the period stated and the expense categorisation agrees with PRISM? (If not, a full accounts reconciliation with PRISM has been prepared for review?)		
7	Final financial reports - additional procedures stated in Section II have been fully addressed?		
8	Financial data in the narrative report is consistent with the financial report, for example?		
	a) Reporting period		
	b) Total confirmed funding and contributions received		
	c) Total expenses		
	d) Any mentions of quantities and costs		
9	Balance reported:		
	a) Does the report show a receivable balance?		
	b) If so, have further funds (balance or next installment) been requested from donor?		
	c) Does the report show a balance of funds carried forward?		
	d) If so, has agreement been reached with donor on reallocation or repayment?		
	e) Payment request submitted to donor (if applicable) has been shared with Revenue to record the revenue receivable?		
10	Financial report has been sent to the appropriate reviewer together with this checklist and the standard accounts reconciliation after internal coordination within the CO?		
11	Corresponding narrative report has been sent to the appropriate reviewer?		

SECTION II			
ADDITIONAL PROCEDURES FOR FINAL FINANCIAL REPORT			
1	Commitments are cleared - there should be no open commitments including assets (T-code ZDSR / ZLI)?		
2	No outstanding items in GL account 210120 "Staff Travel Cost" (T-code FBL3N, filter by WBS)?		
3	No double charging of expense (T-code ME2J or ZME2 - open MIRO), check the possibility of erroneous use of FB60 instead of MIRO?		
4	Assets charged to the project are valid, check the possibility of double asset acquisition (T-codes ZASSETLIST and cross reference to AW01N)?		
5	Beneficiary assets (Class 6000) are retired upon transfer (T-code ZASSETLIST)?		
6	Unacquired assets are verified for validity (T-code ZASSETS1)?		
7	Review charges beyond the project implementation date and verify validity. If subsequent charges are material, include explanation in the narrative report?		
8	Ensure that no additional charges to the project are incurred?		
9	Review if there are special reporting requirements (i.e interest income, taxes, asset handback)?		
10	Financial report is endorsed by RO Brussels and CORMF Washington for EC (under centralized management) and USAID/GTIP funded projects, respectively?		
11	The project's user status has been changed to TECO to avoid subsequent postings?		
<b>Prepared by</b>			
<b>Date submitted for review:</b>			

**Reminder: The complete donor report submission package needs to be sent to PIU for upload to the intranet**

Effective: November 2011

## Annex 5.5 Standard Accounts Reconciliation

IOM OFFICE: \_\_\_\_\_  
 PROJECT CODE: \_\_\_\_\_  
 REPORTING PERIOD: \_\_\_\_\_  
 REPORTING CURRENCY: \_\_\_\_\_

### ACCOUNTS RECONCILIATION

*Note: Submission of Accounts Reconciliation is mandatory if a difference exists between PRISM balance and or expense categorization and financial report*

DESCRIPTION	Amount in Reporting Currency
<b>PRISM REPORT ( INDICATE FIGURES AS SHOWN ON PRISM REPORT)</b>	
<b>I. AMOUNT OF EXPENSES BASED ON REPORTING PERIOD (details per expense categorization)</b>	
Staff costs	
Office costs	
Operational costs	
Overhead	
<b>Total Expenditure ( I ):</b>	<b>0.00</b>
<b>II. AMOUNT OF ADDITIONAL EXPENSES BEYOND REPORTING PERIOD (IF ANY)</b>	
<b>Total Additional Expenditure (II)</b>	<b>0.00</b>
<b>III. ADJUSTED TOTAL EXPENSES(I + II)</b>	
	<b>0.00</b>
<b>IV. AMOUNT OF CONTRIBUTIONS RECORDED (ACCRUED AND RECEIVED)</b>	
<b>Total Contributions ( IV )</b>	<b>0.00</b>
<b>V. PROJECT BALANCE ( III less IV )</b>	
	<b>0.00</b>

<b>FINANCIAL REPORT ( INDICATE FIGURES AS SHOWN ON FINANCIAL REPORT)</b>	
<b>i. AMOUNT OF EXPENSES REPORTED (details per expense categorization)</b>	
Staff costs	
Office costs	
Operational costs	
Overhead	
<b>Total Expenditure( i )</b>	<b>0.00</b>
<b>ii. AMOUNT OF CONTRIBUTIONS RECEIVED</b>	
<b>Total Contributions ( ii)</b>	<b>0.00</b>
<b>iii. PROJECT BALANCE ( i less ii)</b>	
	<b>0.00</b>

<b>A) DIFFERENCE BETWEEN PRISM ( V ) AND FINANCIAL REPORT ( iii )</b>	<b>0.00</b>
<b>B) RECONCILIATION (EXPLANATION OF THE DIFFERENCE)</b>	
1	
2	
3	
4	
<b>Total B (sum of 1, 2, 3, and 4)</b>	<b>0.00</b>
<b>C) VERIFICATION OF RECONCILIATION (A SHOULD BE EQUAL TO B)</b>	
	<b>0.00</b>

<b>ACTION POINTS FOR ABOVE RECONCILIATION ITEMS</b>	
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PREPARED BY : \_\_\_\_\_  
 (Mission)

DATE: \_\_\_\_\_

CHECKED BY: \_\_\_\_\_  
 (RAS)

DATE: \_\_\_\_\_

## Annex 5.6 Request for Payment Form



International Organization for Migration (IOM)  
Organisation internationale pour les migrations (OIM)  
Organización Internacional para las Migraciones (OIM)

# Request for payment

This is a request for payment to the donor for funds to be received by IOM.

Name and address Reference no.:  
DATE

For example, 2012/ID001

Description	Amount (Currency)
Description of project (title, donor number) Instalment Refer to documentation attached – agreement, report etc.	
<b>Total due to IOM (currency)</b>	<b>Amount</b>

Please make payment to:

Citibank, N.A., New York  
399 Park Avenue  
New York, NY 10043  
SWIFT BIC: CITIUS33  
ABA 021000089  
General a/c no: 30557053  
Beneficiary name: IOM Geneva

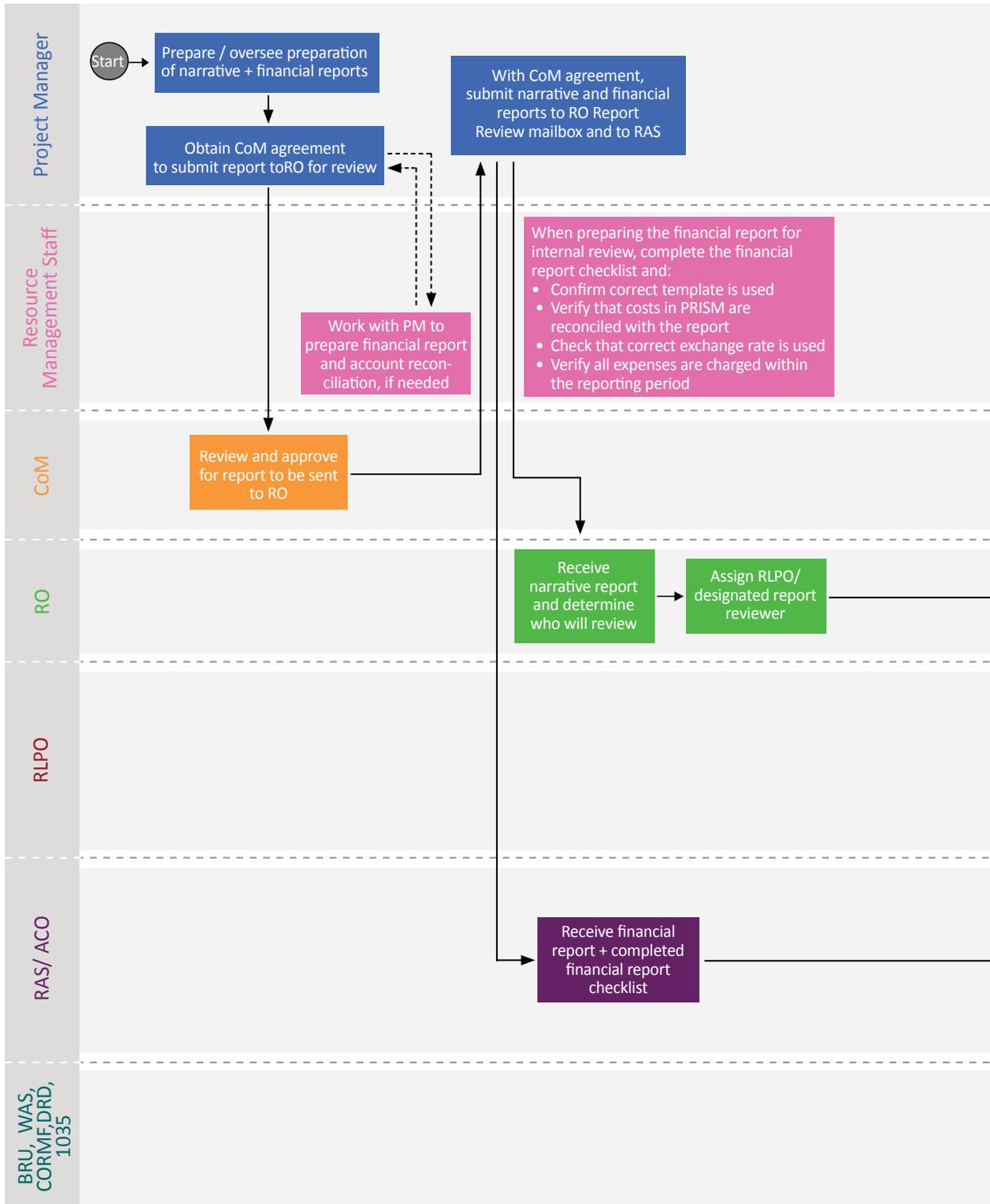
Need to check with TSY for correct bank account information.

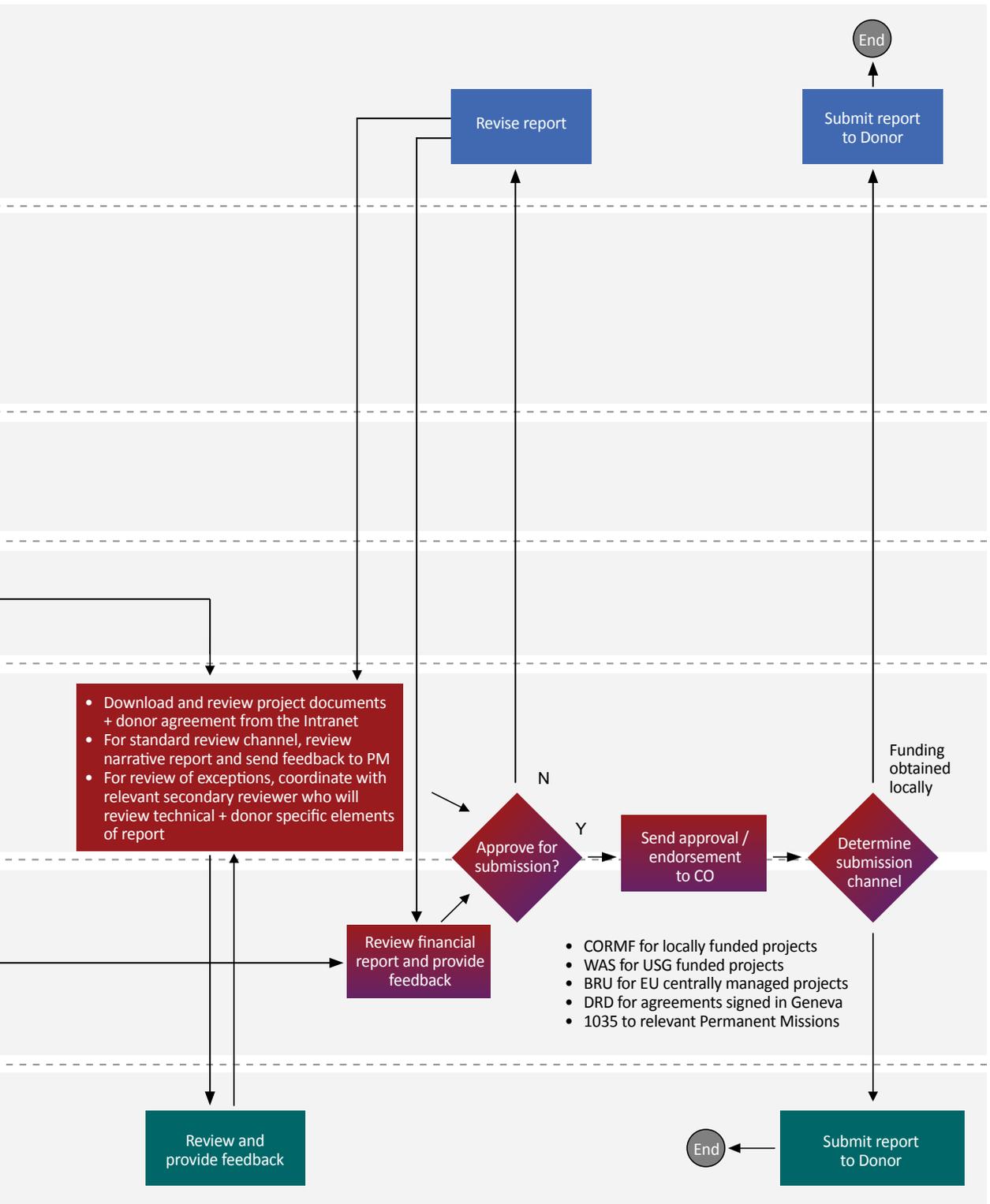
**Please include this reference when making payment.**

Project code XXX-YYY

Project code, procomm number or short project title.

## Annex 5.7 Reporting Flowchart





- Download and review project documents + donor agreement from the Intranet
- For standard review channel, review narrative report and send feedback to PM
- For review of exceptions, coordinate with relevant secondary reviewer who will review technical + donor specific elements of report

Approve for submission?

Send approval / endorsement to CO

Determine submission channel

Review financial report and provide feedback

- CORMF for locally funded projects
- WAS for USG funded projects
- BRU for EU centrally managed projects
- DRD for agreements signed in Geneva
- 1035 to relevant Permanent Missions

Review and provide feedback

Submit report to Donor

Submit report to Donor

Revise report

End

End

Funding obtained locally

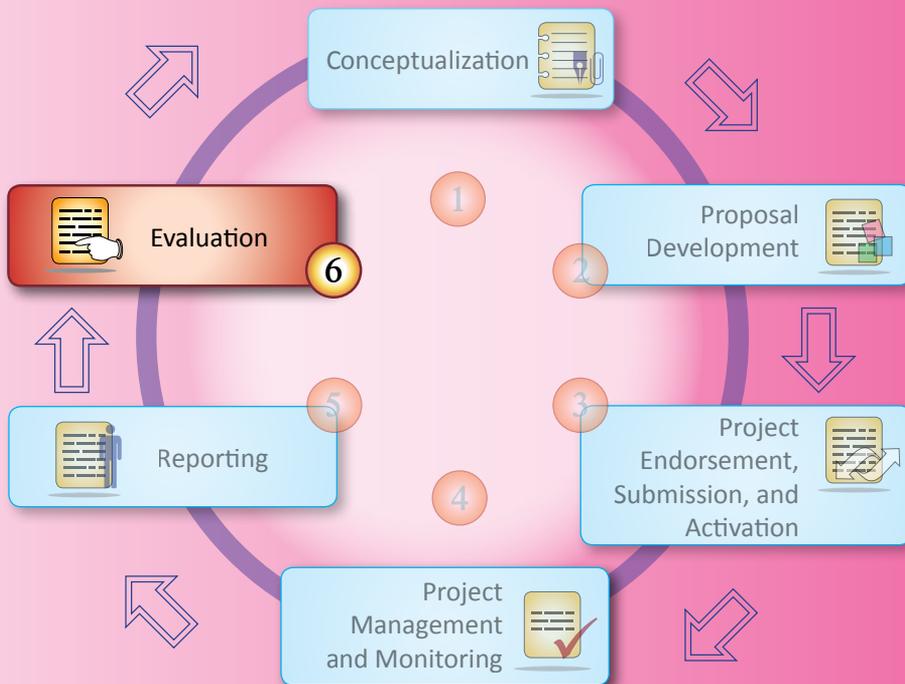
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# Module 6

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# EVALUATION

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## Questions Answered in Module Six

- In which ways are evaluations useful?
- What are the main steps and tools for designing evaluations?
- What are the main steps and tools for managing evaluations?
- How do you develop terms of reference (TORs) for evaluations?
- How can evaluation findings contribute to knowledge, institutional learning, and improvements to organizational performance?

## INTRODUCTION TO MODULE SIX

Read this Module if you are a Project Manager and are planning to prepare an evaluation before, during, or after the implementation of a project.



### Contact

This Module is an introduction to evaluation and a step-by-step guide for Project Managers. For a more detailed and technical discussion of evaluations, refer to MA/66: IOM Evaluation Guidelines.



### Information

Evaluations can take place before, during, or after the implementation of a project. However, they are closely linked to Module Four and Module Five in that evaluations are part of an integrated approach to project management, which includes good planning, implementation, monitoring, reporting, and evaluation. Evaluation findings also contribute to improved project conceptualization and design, which are described in Module One and Module Two.

## The Importance of Evaluation within IOM

The Development Assistance Committee Expert Group of the Organization for Economic Cooperation and Development (OECD) defines evaluation as “The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program.”<sup>1</sup>



### Information

At IOM, evaluations are most often conducted for projects, but they are also conducted for programmes and global activities within a thematic area. For the purposes of this Handbook, which focuses on project cycle management, reference will be made to project evaluations, although the steps and processes described in this Module are broadly applicable to all evaluations.

<sup>1</sup> Organization for Economic Cooperation and Development, Development Assistance Committee, *Principles for Evaluation of Development Assistance* (Paris, 1991).

There are reasons from both inside and outside IOM for conducting evaluations. Internally (within IOM), evaluations are useful tools for gathering reliable information to improve projects and the services IOM offers to migrants, Member States, and donors. Evaluations can provide evidence-based assessments of the worth or significance of a project or its components. Evaluations can also provide project management with recommendations for improving the project's performance and for best use of the project's resources. Furthermore, positive past evaluations of IOM projects are highly valuable in fundraising efforts.

Externally, evaluations assist donors in their decision-making. Donors have limited resources and are concerned with maximizing the impact of their contributions. Past evaluations contribute to the body of information and knowledge donors have at their disposal during decision-making, and the inclusion of evaluation within a project indicates not only that information on the performance of the particular project will be available, but also that IOM is committed to improving performance and maximizing impact.

Evaluations offer benefits throughout the project cycle. At the project design stage, the inclusion of lessons learned, good practices, and other recommendations from previous evaluations can directly contribute to improved project design. Furthermore, ensuring a results-orientation can be facilitated by formulating the measures and frameworks that allow the project results (outputs, outcomes, and objectives) to be monitored, assessed, and evaluated. In addition, the inclusion of evaluation in the project design can increase stakeholder buy-in to, and cooperation with, the project.

Evaluations are closely linked to planning and monitoring. During the implementation of the project, evaluations are a means of feedback, which allows for both the strengths of the project and any problems to be identified. Greater efforts and resources can be oriented towards what is working and towards addressing identified problems. A key benefit of conducting evaluations during project implementation is that any necessary adjustments can be made using the project's own existing resources.



### Information

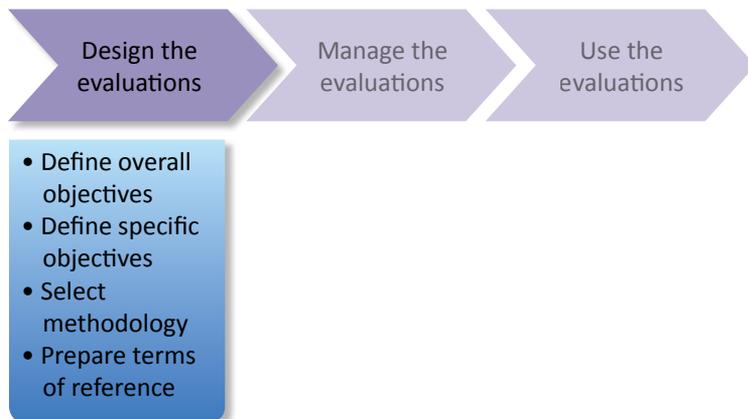
Funding arrangements are an important consideration in planning evaluations within IOM as some types of evaluations take place months or even years after a project or programme has been completed.

There are two main funding arrangements for evaluations within IOM. The first and most common arrangement is for the evaluation to be included in the project design and budget, where all the resources required for the evaluation are provided by the project. This funding arrangement is most suitable for evaluations that are conducted at the beginning of the project, during project implementation, or shortly after the completion of the project.

The second common funding arrangement for evaluations is to have a separate evaluation project, with a new budget, project document, and contribution agreement with the donor. This type of arrangement is suitable for evaluations conducted some time after the completion of the project as it avoids leaving a completed project open in IOM's system until the evaluation is completed.

The process of evaluation consists of three main phases: (a) planning evaluations; (b) managing evaluations; (c) and using evaluations. Within each of these phases, a number of steps are taken, as demonstrated in Figure 6.1.

## I. HOW TO DESIGN EVALUATIONS



### Information

These steps may change depending on either the nature of the project or the evaluation methodology.

### I.1 Step One: Define the Overall Objective of the Evaluation

The first step in the evaluation process is to define the overall objective of the evaluation. One way to do so is by asking the following questions:

- What is the intended use of the evaluation?
- Who is requesting, or is interested in, the evaluation?

These questions are interlinked as the intended use will depend on the information needs of the intended users of the evaluation. These questions will help you to define the type of evaluation needed. There are different types of evaluations, such as those internally or externally-led, those adopting a summative or formative approach, or those performed jointly to assess collaborative efforts. They can also be categorized according to the timing of the data collection within the project. Depending on the use, a *ex-ante*, mid-term, final or *ex-post* evaluation might be required.



### Information

Even if project donors and project implementers are often the primary audiences of an evaluation, a broader dissemination of evaluation results should be considered to promote IOM's work and reinforce partnerships.



### Definition

**Formative evaluation** “may be defined as an evaluation conducted during implementation for improving performance. It is intended for managers ... to help them to redress and improve the project or programme according to participants’ suggestions and needs. A **summative evaluation** is conducted at the end of a project or programme and for actors not directly involved in the management of the implementation (for instance, donors). It provides insights about the effectiveness of the project or programme and gives them the opportunity to use best practices identified during the evaluation.”<sup>2</sup>



### Definition

**Intentionality:** “The proper application of the evaluation function implies that there is a clear intent to use evaluation findings. In the context of limited resources, the planning and selection of evaluation work has to be carefully done. Evaluations must be chosen and undertaken in a timely manner so that they can and do inform decision-making with relevant and timely information.”<sup>3</sup>

<sup>2</sup> MA/66: IOM Evaluation Guidelines.

<sup>3</sup> United Nations Evaluation Group, *Norms for Evaluation in the UN System* (2005).

## 1.2 Step Two: Define the Specific Objectives of the Evaluation

The second step in the evaluation process is to define the overall objective of the evaluation. To do so, ask the question: “What do they (that is, the intended users of the evaluation) need to know?” This will help you to determine what information is necessary to respond to the evaluation’s overall objective.

The information needs can be organized according to common evaluation criteria. Some common criteria are:

- relevance
- effectiveness
- efficiency
- impact
- sustainability.



### Resource

A more comprehensive list of evaluation criteria and related evaluation questions is available in MA/66: IOM Evaluation Guidelines.

## Relevance



### Definition

**Relevance** is the extent to which the project objective or outcomes remain valid and pertinent either as originally planned or as subsequently modified.

An assessment of relevance is slightly different from that of the other four criteria because it focuses on intentions of the project vis-à-vis the needs of the main stakeholders, rather than on the actual performance and achievements of a project.

An assessment of a project’s relevance to the main stakeholders is aimed at determining if the priorities of the beneficiaries, the national or local government, and the donor are still in line with the objectives and outcomes identified and formulated during project design. Therefore, this criterion is most appropriate before the project start-up, or when sufficient time has passed to question whether the priorities of one or more stakeholders have changed and the project no longer responds to their

needs. In such cases, an assessment of project relevance may assist project management in deciding if adjustments to project design are required and if additional projects should be undertaken.

The following are common evaluation questions for assessing relevance:

- Do the project's expected outcomes and outputs remain valid and pertinent either as originally planned or as subsequently modified?
- Are activities and outputs tailored to local needs and to the requirements of ownership and accountability?
- Is the project aligned to, and supportive of, national strategies?
- Is the project in line with donor priorities?
- Do the project activities and outputs take into account relevant policies and guidelines?
- Are the project activities and outputs consistent with the intended objectives and outcomes?

## Effectiveness



### Definition

**Effectiveness** is the extent to which a project achieves its objectives or produces its desired results.

To measure effectiveness, determine whether and to what extent the beneficiaries have used the services and products formulated in the project outputs and, if so, whether this use has led to the benefits formulated in the project outcomes. Determine whether the activities have in fact led to the outputs, and whether the delivery of outputs has led to the expected outcomes. When evaluating the effectiveness of the project, all internal and external factors that influenced the achievement of the outputs and the outcomes are examined. Facts about the level of achievement, as well as the underlying possible reasons for success or failure, are the basis for analysis, conclusions, and recommendations.

The following are common evaluation questions for assessing effectiveness:

- Have the project outputs and outcomes been achieved in accordance with the stated plans?
- Are the policy instruments, service delivery mechanisms, and management practices appropriate for achieving the expected outcomes?
- Are the target beneficiaries being reached as expected?
- Are the target beneficiaries satisfied with the services provided?
- What are the major factors influencing the achievement of the project's expected outcomes?

## Efficiency



### Definition

**Efficiency** is how well resources (funds, expertise, and time) are used to undertake activities, and how well these resources are converted into outputs. Related to this is the notion of **cost-effectiveness**, which is whether the project outcomes were achieved at a minimal or the lowest possible cost (that is, whether the project benefits justify the costs).

Efficiency assesses whether the human, physical, and financial resources have been properly used to realize the activities and outputs. The actual utilization of resources is compared to what is described in the project document and budget. Efficiency focuses on how the outputs are realized, not on their effects.

The following are common evaluation questions for assessing efficiency and cost-effectiveness:

- Have the available means been optimally utilized?
- Were the project activities undertaken and were the outputs delivered on time?
- Was the project implemented in the most efficient way compared to alternative means of implementation?

- How well are the resources (funds, expertise, and time) being converted into results?
- Are the costs proportionate to the results achieved?
- Is the implementation of the project being coordinated with the relevant counterparts?

## Impact



### Definition

**Impact** is an evaluation criterion that assesses the positive and negative, primary and secondary long-term effects produced by a project, directly or indirectly, intentionally or unintentionally.

Assessing impact is a recognized challenge due to the complexity and cost of measuring a change in a situation, and to the question of attribution. In evaluations, links are made between the actions undertaken during the project and the causal relationship between these actions and observed changes. Therefore, the analysis of project outcomes can be considered.

The following are common evaluation questions for assessing impact:

- Which positive and intended effects are being produced by the project?
- Does the impact come from the project activities, from external factors or from both?
- What do the target groups and other stakeholders perceive on themselves to be the impact of the project?

## Sustainability



### Definition

**Sustainability** is the durability of the project's results, or the continuation of the project's benefits once external support ceases.

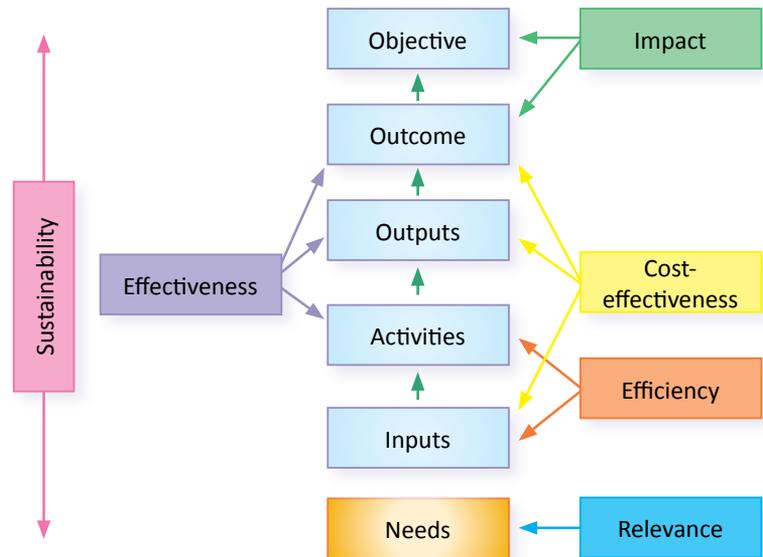
The sustainability of a project is generally assessed a time after the activities have been completed. However, medium-term and final evaluations can be used to assess whether the minimal conditions exist for the project results to be sustained after its finalization.

The following are common evaluation questions for assessing sustainability:

- Will the benefits generated by the project continue once external support ceases?
- In the long run, will the benefits continue to be higher than the costs?
- Is the project supported by local institutions and well integrated into local social and cultural structures?
- Do the project partners have the financial capacity and are they committed to maintain the benefits of the project in the long run?
- Is the technology used appropriate to local conditions?

Formulate, select, and prioritize the most relevant questions in line with the evaluation's overall objective. Refer to the Results Matrix when developing the evaluation questions.

**Figure 6.1: Evaluation Criteria in the Results Chain**



Adapted from MDF training materials.

Different criteria may be useful at different stages of the project life cycle. Evaluations may be categorized according to the phase in the project cycle in which they are conducted. Evaluations can be categorized as *ex-ante*, mid-term, final, or *ex-post* evaluations.

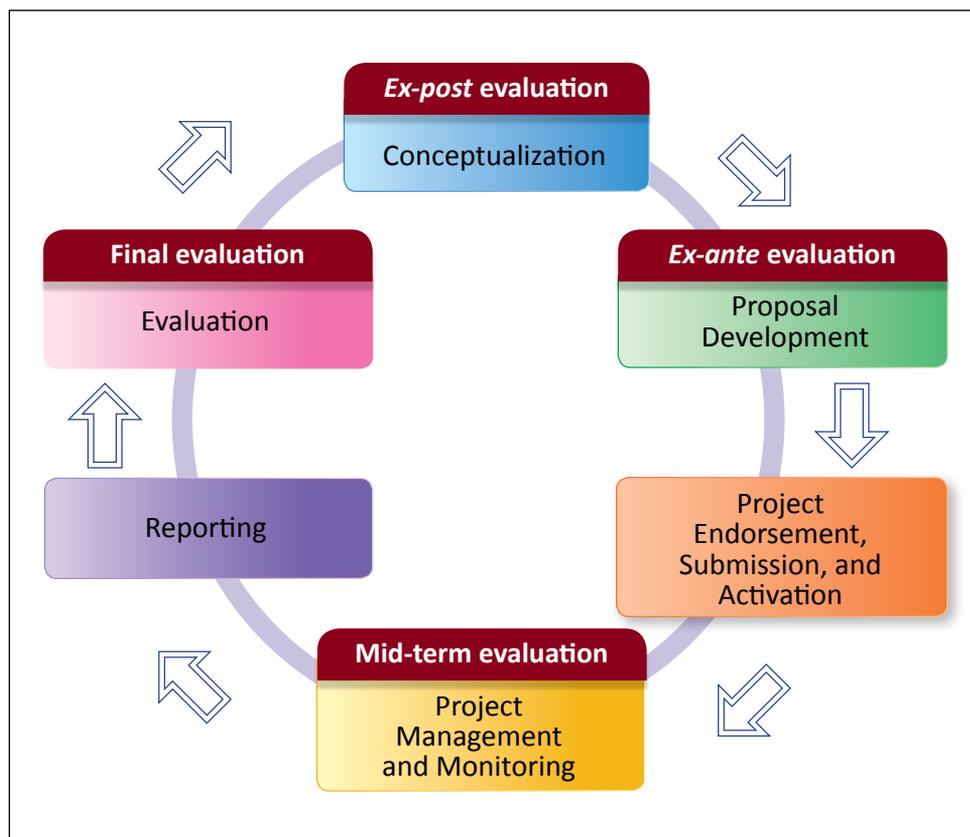


**Definition**

“An **ex-ante evaluation** is performed before implementation of assistance.... A **mid-term evaluation** is carried out approximately at the middle of the implementation of the project or programme. It is usually for projects or programmes that are planned for lengthy periods and is used to assess adjustments that can be brought to enable the project or programme to achieve its goals. A **final evaluation** is carried out at the end, or close to the end, of the project or programme when all aspects can be considered. This is the most common type used in IOM. The fourth option is the **ex-post evaluation**, which is done some time after the project’s or programme’s end.”<sup>4</sup>

4 MA/66: IOM Evaluation Guidelines.

Figure 6.2: Evaluations in the Project Cycle



IOM, 2011

In an *ex-ante* evaluation, the main focus is on the relevance of the project. In a mid-term evaluation, the focus shifts towards effectiveness, achievements, and recommendations for improvement. Towards the end of the project's life cycle, final evaluations are better able to assess the sustainability and impact of the project. However, the evaluation criteria are to be selected based on the specific requirements of users of the evaluation and the interests of the project stakeholders.



### Information

Mid-term and final evaluations are the most common type of evaluation at IOM. *Ex-post* evaluations are feasible when time and funding provisions are made during the development of the project. Time provisions are important in *ex-post* evaluations for ensuring that project activities terminate with adequate time before the closure of the project in order to allow the outcomes to take place and the evaluation to be implemented.

Other criteria can include: validity of the design, appropriateness, causality, coverage, coherence, connectedness, coordination and cost-effectiveness. Not all criteria are applicable to every evaluation.

In addition, the identification of lessons learned can be facilitated by asking the adequate questions, such as:

- what worked well?
- what did not work so well?
- why did it not work?
- what needs to be done differently?

## I.3 Step Three: Select the Evaluation Methodology

Once the evaluation questions have been specified, the next step is to select the appropriate evaluation methodology.



### Definition

The **evaluation methodology** describes the data collection and analysis methods and techniques appropriate to respond to the overall and specific objectives of the evaluation.

There are different evaluation methodologies, each with its own uses, advantages, and limitations. Evaluations can use a single or a combination of different data collection methods, depending on the evaluation questions, and on the needs to verify or cross-check the data. The most common data collection methods for evaluation in IOM include:

- review of existing reports and documents
- direct observation
- interviews
- focus group discussions
- surveys.



#### Definition

**Primary data** are original unpublished data collected by a researcher. **Secondary data** are data collected by someone other than the user.

Each type of collection method has its own advantages and limitations. One way to compensate for the limitations is to use a mixed approach, which combines quantitative and qualitative methods.

The following table presents common data collection methodologies and their advantages and limitations.

**Table 6.1: Summary of Common Data Collection Methods**

Method	Description	Advantages	Limitations
Review of existing reports and documents	Existing documentation, including quantitative and qualitative information about the project and its outputs and outcomes, such as documentation from capacity development activities, donor reports, digital records, and other evidence.	<ul style="list-style-type: none"> <li>The information exists and is accessible at a low cost.</li> </ul>	<ul style="list-style-type: none"> <li>May be time-consuming to put together and analyse.</li> <li>Evidence can be difficult to code (codify) and analyse.</li> <li>Difficult to verify reliability and validity of data.</li> </ul>
Questionnaires <sup>5</sup>	Provide a standardized approach to obtaining information on a wide range of topics from a large number or diversity of stakeholders (usually employing sampling techniques) to obtain information on their attitudes, beliefs, opinions, perceptions, level of satisfaction, and so forth, concerning the operations, inputs, outputs, and contextual factors of a project.	<ul style="list-style-type: none"> <li>Good for quickly gathering descriptive data on a wide range of topics at a relatively low cost.</li> <li>May be easier to analyse.</li> </ul>	<ul style="list-style-type: none"> <li>May lead to bias, such as social desirability bias.</li> <li>May provide a general picture but may lack depth.</li> <li>May provide information out of context.</li> <li>Data may be subject to sampling bias.</li> <li>For online surveys, the number of respondents may not be controlled.</li> </ul>
In-depth interviews	Solicit person-to-person responses to questions designed to obtain in-depth information about a person's impressions or experiences, or to learn more about his or her answers to questionnaires or surveys.	<ul style="list-style-type: none"> <li>Facilitates fuller coverage, range, and depth of information on a topic.</li> </ul>	<ul style="list-style-type: none"> <li>Can be difficult to analyse.</li> <li>Potential for interviewer to bias against participant's responses.</li> </ul>

<sup>5</sup> At IOM, online surveys are encouraged in order to measure the quality and timeliness of the delivery of services and support. See IB/20: Encouraging the Use, Inside IOM, of Customer Satisfaction Surveys as a Tool for Improving Internal Services and Support.

Method	Description	Advantages	Limitations
On-site observation	Entails use of observation form to record accurate information on-site about how a project operates.	<ul style="list-style-type: none"> <li>• Can see operations of a project as they occur.</li> <li>• Can adapt to events as they occur.</li> </ul>	<ul style="list-style-type: none"> <li>• Can be difficult to interpret observed behaviours.</li> <li>• Subject to (site) selection bias.</li> </ul>
Focus Groups	Small group (6 to 12 people) discussion to explore stakeholder opinions and judgements towards an activity, process, project or policy. They can also be used to collect in-depth information on the needs, motivations, intentions, and experiences of the group.	<ul style="list-style-type: none"> <li>• Useful to obtain in-depth qualitative information</li> </ul>	<ul style="list-style-type: none"> <li>• Requires qualified facilitator</li> <li>• Can be difficult to analyze and interpret</li> <li>• Subject to facilitator bias</li> </ul>
Key informants	Qualitative in-depth interviews, often one-on-one, with a wide range of stakeholders who have first-hand knowledge about the initiative's operations and context. These community experts can provide particular knowledge and understanding of problems and recommend solutions.	<ul style="list-style-type: none"> <li>• Can provide insight on the nature of problems and recommend solutions.</li> <li>• Can provide different perspectives on a single issue or on several issues.</li> </ul>	<ul style="list-style-type: none"> <li>• Subject to sampling bias.</li> <li>• Must have some means to verify or corroborate information.</li> </ul>
Case studies	Involves comprehensive examination of cases to obtain in-depth information with the goal to fully understand the operational dynamics, activities, outputs, outcomes, and interactions of a development project.	<ul style="list-style-type: none"> <li>• Useful to fully explore factors that contribute to outputs and outcomes.</li> </ul>	<ul style="list-style-type: none"> <li>• Requires considerable time and resources not usually available for commissioned evaluations.</li> <li>• Can be difficult to analyse.</li> </ul>

**Source:** Adapted from United Nations Development Programme, *Handbook on Planning, Monitoring and Evaluating for Development Results* (2009), pp. 174 and 175.

There are a number of details you should consider when selecting the evaluation methodology, including:

- the choice between an internal and an external evaluation;
- the timing of the data collection;
- the different costs associated with the different methods;
- the political and institutional environment in which the evaluation takes place.

### 1.3.a Choosing an Internal or External Evaluation



#### Definition

“An **internal evaluation** is conducted by a unit and/or individuals belonging to the organization, government, [or] department responsible for implementing the project or programme... An **external evaluation** is conducted by someone [other than] the donor and implementing organizations.”<sup>6</sup>

Evaluations can be internal or external. Internal evaluations may be self-evaluations or independent. Evaluations can also include a mix of internal and external evaluators.

Whether you chose an internal or external evaluation, it is important that the objectives of the evaluation are defined taking into account the views and needs of the expected users of the evaluation. When choosing between an internal and an external evaluation, key considerations include the background and technical competencies of IOM staff, the objectives of the evaluation, and the data collection and analysis methods. The following table compares some of the strengths of internal and external evaluators.

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<sup>6</sup> MA/66: IOM Evaluation Guidelines.

**Table 6.2: Strengths of Internal and External Evaluators<sup>7</sup>**

Internal evaluators	External evaluators
<ul style="list-style-type: none"> <li>• Familiar with the context and object of the study.</li> <li>• May lead to greater acceptability of the findings.</li> <li>• May be lower cost.</li> <li>• Better placed to understand the environment and prepare findings in the style most likely to be used.</li> <li>• Can build credibility over time and prepare the ground for acceptance and utilization of evaluation results.</li> <li>• Able to promote the use of evaluation findings over the long term.</li> </ul>	<ul style="list-style-type: none"> <li>• Usually ensure independence, objectivity, and expert credibility.</li> <li>• Keener to challenge project staff to address what has been overlooked through nearsightedness.</li> <li>• Generally perceived to be unbiased and objective.</li> <li>• Particularly useful if the evaluation is conducted in order to assess a possible extension of the project or programme.</li> <li>• Can often raise issues that would be uncomfortable for an internal evaluator to address.</li> </ul>

When deciding if the evaluation will be internal or external, consider staff workload and expertise in light of the requirements of the evaluation. Using staff members may be less costly and provide relevant benefits (such as familiarity with the context), but this may also affect the objectivity or the credibility of the evaluation findings.

When insufficient staff time or expertise is available, or when an outsider's objectivity is required, an external evaluation may be more suitable. Another alternative is to use both internal and external resources, which can be done, for example, by using an internal evaluator while outsourcing the data collection or data analysis.

<sup>7</sup> Adapted from Melissa Conley-Tyler, A Fundamental Choice: Internal or External Evaluation? *Evaluation Journal of Australasia*, 2005, 4(1 and 2) 3-11. See [www.aes.asn.au/publications/Vol4No1\\_2/fundamental\\_choice.pdf](http://www.aes.asn.au/publications/Vol4No1_2/fundamental_choice.pdf).

### I.3.b Timing of the Data Collection

While choosing the evaluation methodology, take into consideration the timing of the data collection related to each one of the specific objectives of the evaluation. Some types of evaluations require the collection of data at different points during project implementation to allow for comparison.

### I.3.c Different Cost Implications of the Different Methods

You will also need to consider the costs of the various data collection methods in light of the budget available for the evaluation. Some data collection methods, such as Internet surveys, can be low cost, while other methods, such as comprehensive case study analyses, may be much more expensive. Some of the issues affecting the costs of data collection methods are listed below:

- **Human resources required**  
Some evaluation methods require more skills and training than others. Project staff may have the skills to employ the preferred evaluation methods, or an external expert may be required.
- **Number of respondents**  
Some methods require a relatively small number of respondents (for example, a series of 10 key informant interviews), while others require much higher numbers of respondents (for example, large-scale surveys). The volume of responses to be processed and analysed will impact the budget required to complete the evaluation.
- **Type of tools needed to gather and analyse the data**  
Some evaluation methods require little or no new equipment or software, whereas other methods can require equipment such as digital equipment and software for collecting and analysing the data.

Additional factors can include travel costs, office space, and office supplies. Develop a detailed budget within the parameters of the overall evaluation cost included in the project budget.



### Information

When evaluation costs are prohibitive, as a Project Manager, consider:

- revising the data sources or collection method, or selecting different indicators for which data collection may be less expensive;
- modifying the overall and specific objective(s) of the evaluation so that evaluation questions and hypotheses may be addressed at a more reasonable cost.

## 1.3.d Political and Institutional Environment

Evaluations are not isolated from the political and institutional context where they take place. Therefore, the different kinds of potential political and institutional issues are to be anticipated when planning for an evaluation, including the eventual existence of a major factor hindering the independence, objectivity or impartiality of the evaluation process.



### Information

When deciding on evaluation methods, consider the type of data that is required for the evaluation and any issues regarding access to that data. Follow MA/88: IOM Data Protection Guidelines, as well as evaluation norms, standards, and codes of conduct, in all data collection efforts.

## I.4 Step Four: Prepare Terms of Reference

The decisions made during the previous steps will be used as building blocks for TORs, the main document of the evaluation preparation phase. TORs provide clear specifications on the roles, responsibilities, and resources of the various parties involved in the evaluation, such as the Project Manager, the evaluator, and project partners and stakeholders.



### Resource

For technical assistance on evaluations, contact the Office of the Inspector General at [eva@iom.int](mailto:eva@iom.int)



### Tips

#### Good Practice: TORs in internal evaluations

While TORs are primarily used for external evaluations, it is a good idea to have a similar document defining the evaluation objective(s), deliverables, and time schedule for internal evaluations as well.



### Information

Refer to MA/66: IOM Evaluation Guidelines for TOR formats. When developing TORs, ensure that clear and precise roles and responsibilities are established. This will save time and costs during the implementation of the evaluation. Any changes to TORs during the implementation of the evaluation require your approval.

The basic elements to be included in TORs are as follows:

- The **background** section summarizes the context of the project that will be evaluated. State the expected outcomes and outputs of the project as they will be one of the main references of the evaluation.
- The **objective(s)** of the evaluation specify the nature of the evaluation to be undertaken and the product it is meant to deliver, the intended audience and use of the

evaluation, and the involvement of the stakeholders in the evaluation. Include the overall objective and the specific objective(s) of the evaluation. Focus on key issues and matters of special interest. It is generally better to have an evaluation that examines a few issues in depth rather than one that looks into a broad range of points superficially. A clear description of the evaluation criteria on which the evaluation will focus is also useful.

- The **methodology** covers the approach for data collection and data analyses. Be precise because the duration of the evaluation exercise and the choice of techniques will have significant cost implications.
- Defining the **role of the various parties** involved in the evaluation (that is, the Project Manager, IOM administrative assistants, the donor, project partners, beneficiaries if included, steering committees) will enable each to know what they are responsible for and what is expected from them, such as providing information on the management of the project, allowing access to project-related documentation, and collecting data from the government.



#### Information

If a team of evaluators has been hired, TORs have to be developed for each individual evaluator.

- The **budget** lays out in detail the resources required to conduct the evaluation, including the consultancy fees and the costs of data collection. Clearly indicate if resources in kind (such as transportation or administrative support) will be made available for the evaluation team.
- The **deliverables** are the specific products that are to be generated at various stages of the evaluation process (such as a workplan, an inception report, a mid-term report, a final report, and recommendations).

- The **time schedule** sets out in chronological order the dates by which certain activities have to be done or products handed over. During time scheduling, consider risks that are likely to have an impact on the timing of the evaluation (such as IOM staff or government official turnover).
- Throughout the preparation and during the implementation of the evaluation, take into account relevant **cross-cutting aspects**, such as gender and human rights, as described in Module One.



### Information

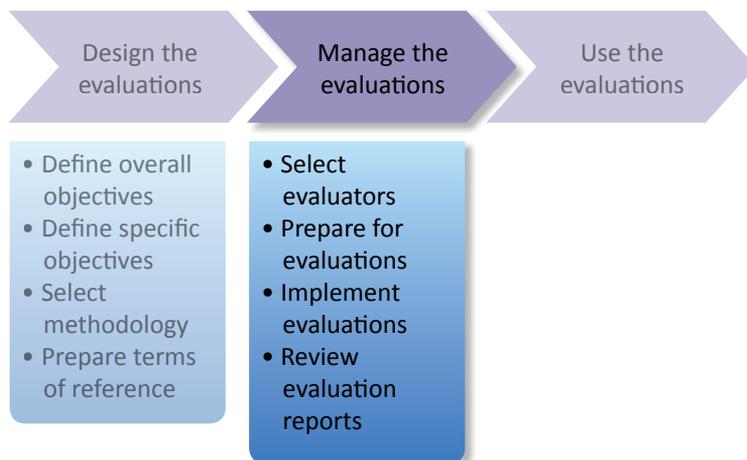
Through the United Nations Evaluation Group (UNEG), the United Nations and IOM have agreed to use common norms, standards, and ethical guidelines. The common principles to be followed by evaluators include, among other things, utility, feasibility, propriety, accuracy, transparency, independence, consultation, credibility, impartiality, and sustainability. These principles should be applied in full respect of human rights, gender considerations, ethnicity, age, sexual orientation, language, disability, and other considerations when designing and implementing the evaluation.

The technical references to the norms, standards, ethical guidelines, and code of conduct to be followed by evaluators can be found on the UNEG website. When requested by donors, governments, or partners, these documents can be given as references for the norms, standards, and guidelines followed by IOM. The UNEG documents were developed in line with the norms, standards, glossary, and guidelines for the evaluations of the Development Assistance Committee of the Organization for Economic Cooperation and Development, which are also often used as references.

Throughout the development and implementation of the evaluation, evaluators must take into consideration different ethical issues to guarantee the responsible use of the information received. When the evaluation

design implies direct interaction between evaluators and project participants in order to gather data and/or discuss findings, it is important to clearly indicate the applicable ethical guidelines, highlighting any area of concern, such as working with children or other vulnerable populations. MA/88: IOM Data Protection Guidelines IN/138: IOM Data Protection Principles and UNEG Ethical Guidelines for Evaluation must be adhered to.

## II. HOW TO MANAGE EVALUATIONS



The management of evaluations typically includes:

- (a) selecting the evaluation team,
- (b) preparing for the evaluation,
- (c) implementing the evaluation, and
- (d) drafting the evaluation report.

## II.1 Step Five: Select Evaluators

Once TORs have been prepared, begin selecting the evaluators. The first key consideration is identifying potential evaluators and determining who has the appropriate qualifications. For recommendations regarding external evaluators, consider contacting donors, the Regional Office, service area, other international organizations, United Nations agencies, universities, or international evaluation organizations and associations. You can also publish TORs in local newspapers, on the IOM website, and on job search websites

Once potential evaluators have been identified, consider their qualifications, skills, experience and attributes required to carry out the evaluation. The following checklist can help you to assess the qualifications of potential internal and external evaluators.



### Tool 6.1 Checklist for Assessing Evaluator Qualifications

	Yes	No
<b>Education and training</b>		
Does the candidate have the appropriate educational background for the evaluation? Depending on the nature of the evaluation, the following qualifications could be desirable: an advanced degree in social sciences, and specialized training in evaluation, project management, social statistics, and/or statistical research and analysis.		
<b>Background and experience</b>		
Does the candidate have a good understanding of various methodologies in evaluation and is able to contribute to identify the most efficient and effective methodology to achieve the objectives of the evaluation?		
Does the candidate have specific technical knowledge of, and is familiar with, the methodology or approach that will be needed for the specific evaluation to be undertaken?		

	Yes	No
Does the candidate have the required competencies to collect reliable, valid and accurate information in an objective way?		
Does the candidate have sufficient previous evaluation experience to qualify him or her to conduct this evaluation?		
Does the candidate have the required level of knowledge in the areas relevant to the evaluation (such as remittances, border management, or migration and health)?		
Does the candidate have the necessary familiarity with the local context?		
Does the candidate's previous performance qualify him or her for this evaluation?		

#### Other qualifications

Does the candidate have the appropriate oral and written communication skills		
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#### Previous performance

Does the candidate's previous performance qualify him or her for this evaluation? Good indicators of past performance include work samples and references.		
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Once you have identified qualified candidates, it is time to make the selection. There are a number of factors other than qualifications that may be taken into consideration when making the selection, including the available budget and time to conduct the evaluation.

For external evaluations, once the candidate is selected, the appropriate contract type is to be prepared and signed (refer to Module Four and IN/73: Guidelines to the Differences between Individual and Service Provider Contracts for more information). When preparing the contract, ensure that clauses related to data protection and confidentiality are included and, depending on the nature of the evaluation, consider having the evaluators sign a confidentiality agreement (see the list of resources at the end of this Module). Provide evaluators with the MA/88: IOM Data Protection Guidelines, Norms for Evaluation



#### Tips

##### Good Practice: Evaluation workshops

It may be useful to hold an evaluation workshop in order to clarify and discuss the relevant aspects of the evaluation. The workshop could also help to clarify the roles and coordination of the various stakeholders. Involving project stakeholders in this way can increase buy-in and acceptance of the evaluation results, which may lead to improved follow-up on evaluation recommendations.

in the UN System, Standards for Evaluation in the UN System, UNEG Ethical Guidelines for Evaluation, and UNEG Code of Conduct for Evaluation in the UN System.

Once the contract has been signed, convene a meeting with the evaluator to discuss TORs and to provide him or her with information on IOM and on the object of the evaluation. Evaluators will receive access to relevant documents and project information only once the contract and confidentiality agreement have been signed.

## II.2 Step Six: Prepare for the Evaluation

Once the evaluator is selected, it is useful to coordinate a meeting to discuss more precisely the ToR. If the evaluation is done by an external evaluator, you might give her/him access to the relevant documents and information only once the contract and confidentiality or disclosure documentation has been signed. Relevant documents might include:

- TORs of the evaluation
- The IOM project document, including the Results Matrix
- TORs of the Project Manager and other staff involved in project implementation
- reports (such as monitoring, evaluation, or donor reports) on the implementation of the project.



### Resource

Contact the Office of the Inspector General or the Office of Legal Affairs at [LEG@iom.int](mailto:LEG@iom.int) if you have any concerns about sharing particular information with an evaluator.

After evaluators have had access to the relevant information, request that they prepare a workplan with tasks, milestones, and deliverables, or a full inception report, before undertaking the full evaluation exercise.

The data collection plan – the concrete specifications for how the data will be obtained – is an important part of an evaluator’s workplan. This plan should detail logistics for data collection, such as who will visit which sites, when the site visits will take place, and which resources are needed to collect the data.

The inception report will reveal the evaluators' understanding of the evaluation needs, as they will have to present what will be evaluated and how each evaluation question will be answered, including methods and data collection procedures (as described above). This report will also provide you with the opportunity to give feedback on the evaluation plan, or to adjust the TORs if required.

Upon the finalization and clearance of the inception report, organize meetings for evaluators with the relevant parties included in TORs.



#### Information

It is very important to introduce evaluators to the project team and relevant stakeholders, and to brief them on the nature and objective of the evaluation.

## II.3 Step Seven: Implement the Evaluation

At this point, evaluators are ready to gather and analyse the data. As discussed, different data collection methodologies may be used, depending on a number of factors, including the evaluation objectives, and the type of evaluation.

The collection of data takes place through surveys, interviews, observation, or other data collection method. Assist evaluators in the process of data collection as needed (for example, by arranging interviews, identifying respondents for questionnaires, or organizing site visits or meetings). Coordinate follow-up meetings with evaluators in order to monitor the work and provide inputs if required. Keep in mind, however, that it is necessary to allow evaluators to work independently.

Once the data are collected, evaluators begin to process and analyse the data in preparation for drafting the evaluation report. In some cases, an interim report may be requested. This interim report may be circulated to the Chief of Mission or Regional Director, the project team, and project stakeholders for their inputs.



### Resource

Refer to the following documents for additional information on the evaluation of reports:

- MA/66: IOM Evaluation Guidelines, for suggestions on the structure of an evaluation report;
- *UNEG Quality Checklist for Evaluation Reports*, for guidance on the structure of evaluation reports and how to assess a report's quality;
- *Standards for Evaluation in the UN System*, for information on standards in evaluation reports;
- MA/88: IOM Data Protection Guidelines and IN/138: IOM Data Protection Principles, for guidance on adhering to IOM's data protection procedures.



### Resource

Contact the Office of the Inspector General for feedback on the quality of the report (if required) or for guidance if there is disagreement on the findings of an evaluation report.

## II.4 Step Eight: Review the Evaluation Report

Once the data have been collected and analysed, evaluators prepare the evaluation report. This report is to respond clearly to the objectives of the evaluation. It is to be logically structured and contain evidence-based findings, conclusions, recommendations, and lessons. As Project Manager, you may wish to discuss with evaluators the content, structure, and length of the report, keeping in mind that the independence of evaluators should be maintained regarding the actual findings and recommendations of the report.

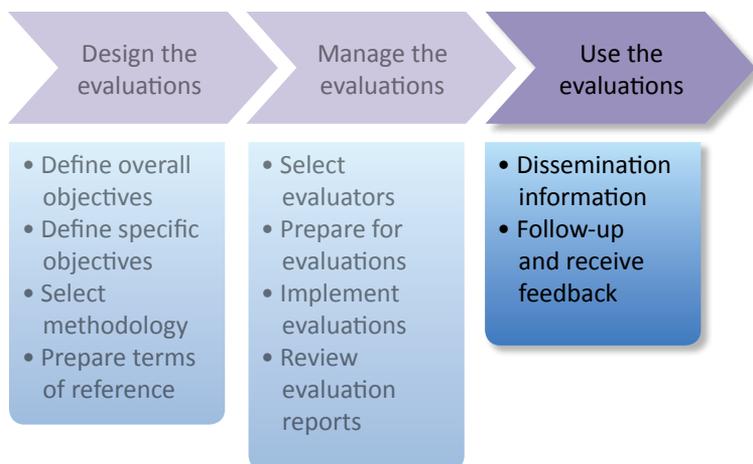
Upon receiving the report, conduct a quality review. This ensures that the report addresses the objectives of the evaluation, and that the report itself is well prepared and clearly presented. It also ensures that evaluation norms, standards, and ethics are fully taken into account.

In addition, review findings and recommendations of the report. This should be done in coordination with the Chief of Mission of the Country Office in which the evaluated project was implemented, or the Regional Director if the evaluated project was regional. For thematic evaluations, the evaluation report is to be reviewed by the relevant Division at Headquarters and the Office of the Inspector General.

If you and the Chief of Mission, Regional Director, or relevant Division at Headquarters are satisfied with the report, submit it to the Office of the Inspector General, which will list it on the IOM Intranet and IOM website. If there is disagreement on the content of the report, contact the Office of the Inspector General for guidance.

Debrief the donor, national government, partners, and other stakeholders regarding the results of the evaluation.

### III. HOW TO USE EVALUATIONS



Evaluations are instruments of change. They contribute to organizational learning and to the enrichment of knowledge, thus enabling IOM to become more effective and efficient in its work. However, learning from evaluations requires an enabling environment in which, among other things, lessons can be properly drawn, and management recommendations can be reflected upon and serve as a basis for appropriate decision-making. In other words, the learning dimension must be acknowledged as an integral part of the evaluation process.

#### III.1 Step Nine: Disseminate Relevant Information from Evaluations

Evaluations are part of the IOM project cycle because the knowledge and lessons learned from evaluations are to be used to enhance the quality of IOM project proposals and the implementation of projects.

In order for these benefits to be derived from evaluations, evaluation reports need to be circulated. In principle, they are to be made available to host governments and donors, but to other stakeholders as well, including the staff involved in project development and management, other IOM Country Offices and Regional Offices, and Headquarters. Dissemination allows IOM to share its experiences with its many partners, who can, in turn, draw on their own know-how and offer advice on how to improve institutional performance.

As a general rule, there is no restriction on the public distribution of completed evaluation reports except those that relate to IOM transport services and resettlement programmes organized under a contractual basis with a specific government. In these cases, the external dissemination should be agreed upon with the donor.

Various mechanisms are used to facilitate learning and knowledge development from evaluations. Examples of these mechanisms are listed below.

- **Dissemination of knowledge products**

These may include evaluation reports, evaluation briefs, e-newsletters, briefing notes, and case studies. Depending on the audience, these products can be made available in common folders, on the Intranet, or on the Internet.

- **Meetings, workshops, and trainings**

The evaluation findings and lessons learned from a project may be useful for other projects if they are shared. Ensure that staff and stakeholder meetings not only facilitate the sharing of tacit (or implicit) knowledge from evaluations, but also put this knowledge in perspective.

- **Communities of practice**

These include real or virtual meetings, and other tools to share knowledge, such as e-mail lists and exchanges, web-based sharing tools and platforms, sharing networks, and blogs.



#### Information

Finalized evaluation reports are to be shared with the Office of the Inspector General, who will list the evaluation on the IOM Evaluation web page.

Institutionally, an important challenge is the collection, dissemination, and learning from the findings and lessons learned identified in evaluation. In order to be useful, the knowledge collected must contain and discuss pertinent information such as:

- the context in which the project was conducted
- an accurate description of the case
- an explanation of the relevance of the lesson for IOM.

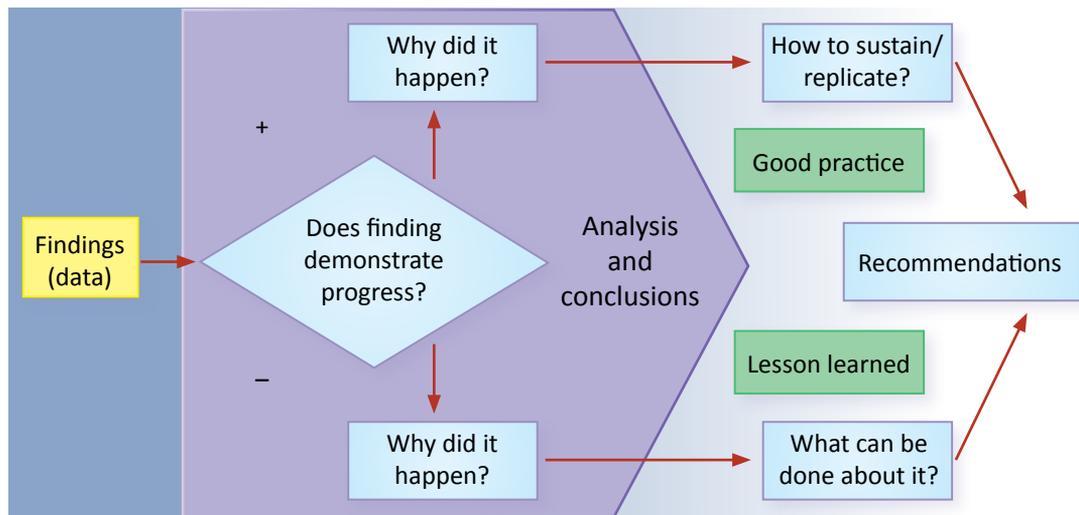


#### Information

Contribute to knowledge management by documenting the elements of project implementation that have worked well and could be applicable to future projects. The identification of lessons learned and best practices is an evidence-based process, so be ready to provide sufficient evidence to support the replication of such practices in future projects.

### III.2 Step Ten: Follow-up and Receive Feedback

Evaluations often recommend changes to project implementation, such as changes concerning the project results or activities, or changes regarding the management of the project. Upon receipt of the final report, those who are responsible for follow-up are to decide if they will address the recommendations and, if so, how they will do so. Normally, the parties responsible for follow-up on the evaluation recommendations are defined in the evaluation's overall objective, namely, those for whom the evaluation was conducted.

**Figure 6.3: Use of Evaluation Findings**

*Adapted from MDF training materials.*

The overall usefulness of an evaluation report in terms of institutional growth and change is determined by a number of factors, including:

- the timeliness of the report
- the quality and credibility of the report
- the degree to which the findings contained in the report is accepted by stakeholders
- the response of management to the evaluation findings.

Therefore, for evaluation recommendations to be implemented in a timely fashion, and for evaluation findings to be fed into project planning, a systematic follow-up process is required. This process includes:

- determining whether the project team accepts and supports the findings and recommendations;
- communicating the findings and lessons learned to the audiences that can profit from them;
- identifying the management or operational actions needed;
- assigning responsibility and the timeline for the completion of each set of actions (for example, revising the project workplan, proposing a new phase of the project, or contacting an IOM service area to revise a policy or manual);

- holding follow-up meetings and monitoring the implementation of the recommendations.



## Examples

### IOM Evaluations

#### *Ex-ante* Evaluation

In 2008, IOM conducted an internal *ex-ante* evaluation of a counter-trafficking project that had received funding and was to be implemented in Central Asia. The overall objective of this evaluation was to optimize the allocation of budgetary resources under the operational activities and to improve overall programming quality. More specifically, the evaluation focused on the logic model of the project in order to assess if the project outcomes could be obtained.

The internal evaluator undertook a desk review of all available documentation and a field visit, and interviewed key staff. The evaluation led to recommendations to:

- improve the project design by redesigning the logic model and the sequences among activities, outputs, and outcomes;
- increase project effectiveness and efficiency by re-focusing activities to maximize gains;
- improve sustainability by establishing linkages with government counterparts and improving planning for the sustainability of non-governmental organization partners.

#### Mid-term and Final Evaluations

In 2007, a final evaluation of an IOM migration and health project in Africa was conducted. The overall objective of this evaluation was to assess the five components of the project and the overall management of the project and to make recommendations for a second phase of the project.

The evaluation methodology consisted of a desk review of the relevant documentation, interviews with key stakeholders, and visits to project sites in the region. The evaluation report (a) provided a detailed assessment of the achievement of the outcomes in each of the project's components, (b) evaluated the project's relevance, effectiveness, efficiency, sustainability, and impact, and (c) provided a set of recommendations for the next phase of the project.

During the second phase of the project, a mid-term evaluation was conducted. The overall objective of this evaluation was to (a) review progress on project indicators, outcomes, and objectives, (b) review implementation processes and arrangements, and (c) provide recommendations to improve relevance and performance for the remainder of the project.

The methodology used for the mid-term review involved a desk review of the relevant documentation, interviews with key IOM staff, implementing partners, beneficiaries, and other stakeholders, and site visits. The evaluation report provided a set of recommendations for the internal management of the project (for example, developing growth management strategies), for programmatic actions (for example, developing impact indicators), and for preparing for the third phase of the project (for example, formalizing management processes, seeking long-term funding, and allocating sufficient resources to monitoring and evaluation).

## IV. PROJECT INFORMATION MANAGEMENT

During an evaluation, the main information to be managed is found in TORs and evaluation reports.

**Table 6.3: Information Management in Evaluation**

Information/ Documents	Party responsible	Process	Purpose
TORs	Project Manager	Project Manager drafts TORs.	Establishes parameters for evaluation.
Evaluation reports	Evaluators	Evaluators produce draft and final reports.	Promotes the use of the Evaluation deliverables and the dissemination of the evaluation results.
	Project Manager	Project Manager disseminates evaluation reports to national governments, stakeholders, donors, and the Office of the Inspector General.	
	Office of the Inspector General	Office of the Inspector General lists the evaluation on the IOM Evaluation web page.	



Tool 6.2 Evaluation Checklist

	Required	Recommended
<b>Designing evaluations</b>		
Has the overall objective of the evaluation been established?		
Have the specific objectives of the evaluation been determined?		
Has the evaluation methodology been established?		
Have you drafted TORs (in the case of an external evaluation)?		
Have you drafted TORs (in the case of an internal evaluation)?		
<b>Managing evaluations</b>		
Have you selected the evaluators?		
Have you followed IOM's human resource and procurement procedures during the selection of the evaluators (in the case of an external evaluation)?		
If external evaluators will be given access to sensitive information, have they signed a confidentiality agreement?		
Have you provided the evaluators with the information required to prepare for the evaluation?		
Have you ensured that the evaluators have the resources and support required to conduct the evaluation?		

	Required	Recommended
<b>Using evaluations</b>		
Have you reviewed the evaluation reports with a view towards quality and adherence to standards?		
Have you ensured that the evaluation reports have been disseminated as appropriate?		
Have you followed up on relevant recommendations?		

## List of Resources

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### Publications

Conley-Tyler, M.

- 2005 A Fundamental Choice: Internal or External Evaluation?  
*Evaluation Journal of Australasia*, 4(1 and 2):3–11.

Organization for Economic Cooperation and Development, Development Assistance Committee

- 1991 *Principles for Evaluation of Development Assistance*. Organization for Economic Cooperation and Development, Paris.
- 2006 *Guidance for Managing Joint Evaluations*. Organization for Economic Cooperation and Development.
- 2010 *Evaluating Development Co-operation: Summary of Norms and Key Standards*.
- 2010 *Glossary of Key Terms in Evaluation and Results Based Management*.

United Nations Development Programme

- 2009 *Handbook on Planning, Monitoring and Evaluating for Development Results*. United Nations Development Programme, New York.

United Nations Evaluation Group

- 2005 *Norms for Evaluation in the UN System*.
- 2005 *Standards for Evaluation in the UN System*.
- 2008 *UNEG Code of Conduct for Evaluation in the UN System*.
- 2008 *UNEG Ethical Guidelines for Evaluation*.
- 2010 *UNEG Good Practice Guidelines for Follow Up to Evaluations*.
- 2010 *UNEG Quality Checklist for Evaluation Reports*.
- 2010 *UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports*.

## Websites

Development Assistance Committee Evaluation Network  
[www.oecd.org/dac/evaluationnetwork](http://www.oecd.org/dac/evaluationnetwork)

IOM Evaluation web page  
[www.iom.int/jahia/Jahia/about-iom/organizational-structure/evaluations/](http://www.iom.int/jahia/Jahia/about-iom/organizational-structure/evaluations/)

My M&E  
[www.mymande.org/](http://www.mymande.org/)

United Nations Evaluation Group  
[www.uneval.org/](http://www.uneval.org/)

## IOM documents and resources

### IOM bulletins, instructions, and manuals

- IB/20: Encouraging the Use, Inside IOM, of Customer Satisfaction Surveys as a Tool for Improving Internal Services and Support
- IN/31: Monitoring
- IN/73: Guidelines to the Differences between Individual and Service Provider Contracts
- IN/138: IOM Data Protection Principles
- MA/66: IOM Evaluation Guidelines
- MA/88: IOM Data Protection Guidelines

### IOM forms and templates

- Confidentiality template

### IOM reference materials and thematic guidelines

- Lessons Learned from Evaluation Activities: IOM's Response for Follow Up to UN GA Resolution A/56/201 (Office of the Inspector General)

# Glossary<sup>1</sup>

**Activities:**

The coordination, technical assistance, training, production, delivery, transportation, and other tasks that are organized and executed under the project.

**Approval for submission:**

The written authorization from the designated IOM official confirming that a project proposal presented in a template that is different from the standard IOM proposal template satisfies donor requirements and (a) is consistent with the IOM Mission, Constitution, and 12-point strategy; (b) is guided by IOM's policies, instructions, and guidelines; and any relevant national or regional strategies, (c) is relevant and technically sound, taking into account good practices in the relevant migration area(s), and is feasible within the proposed budget and timeframe, and (d) has been developed following IOM's project development procedures.

**Assumptions:**

The necessary and positive conditions that allow for a successful means-ends relationship between the different levels of results.

**Beneficiaries:**

The individuals, groups, or organizations that benefit from the project.

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<sup>1</sup> Unless otherwise noted the terms and definitions contained in this Glossary were developed specifically for the *IOM Project Handbook*. For more migration-related definitions refer to the IOM Glossary on Migration (2nd Edition).

**Budget:**

A document that outlines the financial and operational aims of an activity or project for a period of time, serves as a measure for planned expenditures, and facilitates the planning and monitoring of project activities over a specific period based on donor agreements and in line with internal policies and regulations.

**Budget reallocation:**

The process of moving funds from one budget line to another.

**Cause-and-effect relationship:**

The relationship between actions or events whereby one is the result of another.

**Co-funding:**

Required when a donor will provide only a percentage of the overall budget and not the entire amount requested (also referred to as co-financing or cost sharing).

**Cost-effectiveness:**

Whether the project outcomes were achieved at a minimal or the lowest possible cost.

**Donor reporting:**

The preparation, review, revision, and submission of regular reports during and after the implementation of a project.

**Duty-bearer:**

A State or non-State actor with obligations towards rights-holders.

**Earmarking:**

The designation of funds for a particular purpose/activity.

**Effectiveness:**

The extent to which a project achieves its objectives or produces its desired results.

**Efficiency:**

How well resources are used to undertake activities, and how well these resources are converted into outputs.

**Endorsement:**

The written authorization provided by the RTS or Headquarters-designated endorser confirming that the project proposal (a) is consistent with the IOM Mission, Constitution, and 12-point strategy; (b) is guided by IOM's policies, instructions, and guidelines; and any relevant national or regional strategies, (c) is relevant and technically sound, taking into account good practices in the relevant migration area(s), and is feasible within the proposed budget and time-frame, (d) has been developed following IOM's project development procedures, and (e) is presented in the standard IOM proposal template. Endorsement is given on the basis of a single project type.

**Evaluation methodology:**

The analytical methods and techniques appropriate for the evaluation of a particular activity.

***Ex ante* evaluation:**

An evaluation performed before the implementation of assistance.<sup>2</sup>

***Ex post* evaluation:**

An evaluation that is carried out some time after the completion of the project.<sup>3</sup>

**External evaluation:**

An evaluation "conducted by someone [other than] the donor and implementing organizations."<sup>4</sup>

**Final evaluation:**

An evaluation that is carried out at the end, or close to the end, of the project.<sup>5</sup>

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<sup>2</sup> MA/66: IOM Evaluation Guidelines.

<sup>3</sup> Ibid.

<sup>4</sup> Ibid.

<sup>5</sup> Ibid.

**Formative evaluation:**

An evaluation “conducted during implementation for improving performance.”<sup>6</sup>

**Gender:**

“The social attributes and opportunities associated with being male and female and the relationships between women and men, and girls and boys, as well as the relations between women and those between men.”<sup>7</sup>

**Gender mainstreaming:**

“The process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality.”<sup>8</sup>

**Horizontal logic:**

Defines how each of the levels in the vertical logic will be measured and the assumptions that are required for the means-ends relationships to hold true.

**Human rights:**

The liberties and benefits based on human dignity which, by accepted contemporary values, all human beings should be able to claim “as of right” in the society in which they live. In international law, these rights are contained in the International Bill of Human Rights, nine core international human rights treaties, and various universal human rights instruments.

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<sup>6</sup> Ibid.

<sup>7</sup> Office of the Special Advisor on Gender Issues and Advancement of Women, *Gender Mainstreaming: Strategy for Promoting Gender Equality* (2001).

<sup>8</sup> United Nations Economic and Social Council, *Mainstreaming the Gender Perspective into All Policies and Programmes of the United Nations System: Report of the Secretary General, E/1997/66* (1997).

**Impact:**

An evaluation criterion that assesses the positive and negative, primary and secondary long-term effects produced by a project, directly or indirectly, intended or unintended.

**Importance:**

The extent to which stakeholders will be positively or negatively influenced by the project.

**Indicators:**

The quantitative or qualitative factors or variables to measure achievement or to reflect expected changes.

**Influence:**

The power stakeholders have over the planning and implementation process

**In-kind contribution:**

A non-cash input that can be given a cash value.

**Intentionality:**

“The proper application of the evaluation function implies that there is a clear intent to use evaluation findings. In the context of limited resources, the planning and selection of evaluation work has to be carefully done. Evaluations must be chosen and undertaken in a timely manner so that they can and do inform decision-making with relevant and timely information. Planning for evaluation must be an explicit part of planning and budgeting of the evaluation function and/or the organization as a whole. Annual or multi-year evaluation work programmes should be made public.”<sup>9</sup>

**Internal evaluation:**

An evaluation “conducted by a unit and/or individuals belonging to the organization, government, [or] department responsible for implementing the project or programme.”<sup>10</sup>

<sup>9</sup> United Nations Evaluation Group, Norms for Evaluation in the UN System (2005).

<sup>10</sup> MA/66: IOM Evaluation Guidelines.

**IOM proposal template:**

A standardized project document format that has been designed specifically for IOM. It is intended (a) to be the primary tool for conveying an IOM project idea and implementation plan to external parties, including host governments, project partners, and donors, (b) to guide the Project Manager through the implementation and monitoring of the project, and (c) to serve as an instrument to facilitate the Organization's institutional need to collect and analyse project data.

**Means-ends relationship:**

The relationship between the ways or methods that are used to achieve a result.

**Means of verification:**

The specific sources from which the status of each of the indicators in the Results Matrix can be ascertained.

**Mid-term evaluation:**

An evaluation that is carried out at approximately the middle of the implementation of the project.<sup>11</sup>

**Monitoring:**

An established practice of internal oversight that provides management with an early indication of progress, or lack thereof, in the achievement of results, in both operational and financial activities.

**No-cost extension:**

An extension to the project period with no additional funds.

**Objective:**

The most significant, realistic goal to which the project can contribute.

**Office costs:**

All the office costs required to support project implementation.

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<sup>11</sup> Ibid.

**Operational costs:**

Expenditures directly related to the implementation of project activities.

**Outcome:**

The intended change in institutional performance, individual or group behaviour or attitudes, or the political, economic, or social position of the beneficiaries.

**Output:**

The intended change in skills or abilities of the beneficiaries, or the availability of goods or services as a result of project activities.

**Overhead:**

A percentage charged to each project to cover indirect administrative costs (such as management, administrative staff and security) at Headquarters and in the Field, necessary for project support, which are not directly related to a specific activity.

**Pledge:**

The donor's stated intent to fund a specific IOM project or appeal.

**Project:**

An activity or set of activities designed to produce a specified set of deliverables within a specified time frame and budget.

**Project Activation Request Form:**

An administrative snapshot of the project that includes all the information required by the Processes and Resources Integrated Systems Management to support project implementation, including monitoring and reporting.

**Projectization:**

A cost and time allocation model through which the staff and office costs associated with implementing a project are charged to projects.

**Reconciliation:**

An accounting process used to compare two sets of records to ensure that figures are in agreement and are accurate.

**Relevance:**

The extent to which the project objective or outcomes remain valid and pertinent either as originally planned or as subsequently modified.

**Result:**

A measurable change that is the consequence of a means-ends relationship.

**Rights-holder:**

An individual or group with valid claims to human rights.

**Risks:**

The conditions that would prevent a successful means-ends relationship.

**Staff costs:**

The salary and relevant entitlements for all positions, including 8 per cent for terminal emoluments.

**Stakeholder:**

Any individual, group, agency, or organization that has a real or potential interest in a project, and who could negatively or positively influence or be affected by the project, directly or indirectly.

**Summative evaluation:**

An evaluation “conducted at the end of a project or programme and for actors not directly involved in the management of the implementation (for instance, donors).”<sup>12</sup>

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<sup>12</sup> Ibid.

**Sustainability:**

The durability of the project's results, or the continuation of the project's benefits once external support ceases.

**Terminal Emoluments:**

The sum of entitlements due to a staff member upon separation from the Organization in line with the employment contract or the Staff Regulation and Rules.

**Vertical logic:**

The means-ends relationships between activities and outputs, outputs and outcomes, and outcomes and objective.

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## Annex A Development, Endorsement, and Implementation of Research Projects and Components

IOM implements both research projects and projects with a research component. Frequently, the research component of a project is conducted first so that the design of the remaining components of the project can be improved. There are a number of considerations to keep in mind when developing research projects, requesting the endorsement of a proposal with a research component, and implementing research projects.

### Project Development

When developing research projects or projects with a research component, notify the Research Unit of the Migration Research Division at Headquarters. They can provide assistance in developing a sound research project or component. When drafting the project proposal, keep the following considerations in mind:

- Start with a clear research objective and purpose in the project document. This will help to set the parameters for the activities required, such as literature reviews, primary research, or data collection.
- Use a clear methodological approach (that is, match the research method, question, and purpose).
- Be mindful of data availability and access (limitations are acceptable).
- Know your resource limitations whether they are human, financial, or time. Make sure that your research methods, research activities, and final output(s) are reflective of such limitations.
- Budget separately for research software costs and the costs required to conduct surveys as needed.
- Budget for publication and dissemination costs, such as language editing, translation, layout, printing, and distribution.

- Budget appropriately for assistance from the Research Unit of the Migration Research Division if, for example, they will be requested to provide research training, conduct on-site visits, and so forth. Coordinate with the Research Unit when costing such activities.
- Include sufficient time for developing and testing questionnaires, entering data, and transcribing interviews.
- Include sufficient time to coordinate with IOM counterparts in preparing for the publication and dissemination of research reports

### Project Endorsement

The Regional Thematic Specialist or Headquarters-designated endorser will coordinate with the Research Unit of the Migration Research Division when endorsing projects with a research component. The endorsement of such projects is based on the criteria listed below.

- *Clarity of the objective and purpose:* What is the research about, and what is to be learned or achieved through it (that is, what are the research questions)?
- *Relevance:* Why is the research being carried out (for example, a government/donor request, IOM project development, or migration policy development)?
- *Design:* Is the methodological approach suited to the research objective?
- *Feasibility:* Do the allocated resources (human, financial, and time) match the envisioned activities and outputs?

### Research Implementation

Special considerations for the implementation of projects with research components include human resources, quality control, data protection, and publications.

Because research studies are often carried out by consultants, it is important that the terms of reference for both the research itself and the researcher's role are clearly defined. They should include the objective of the research, the methodology to be employed,

the expected outputs, the basis on which the outputs will be evaluated, and the timeline. It is good practice to require the consultant to produce an outline and a first draft (and a second draft depending on the scale of the work) prior to receiving the final draft.

There are instances when part of the consultant's terms of reference is to further develop the methodology or research tools to be used, such as surveys and questionnaires. The methodology proposed should be reviewed to ensure that it is suitable for the research objective and feasible within the given financial and time limitations. Regional Research Officers, the Research Unit of the Migration Research Division, and Regional Thematic Specialists can be contacted for assistance in reviewing proposed methodologies.

It is very important to hire staff and consultants with the necessary research qualifications (see the attached sample terms of reference for research consultancies). The Regional Research Officer, the Regional Thematic Specialist, or the Research Unit of the Migration Research Division may be able to assist in identifying qualified staff and consultants.

Efforts must be made to ensure quality research products. Project Managers should ensure quality in data analysis and report writing. A number of IOM documents can be consulted for guidance on quality control, including:

- *IOM Research Manual* (being updated at the time of writing);
- MA/436: IOM Guidelines on Research Report Writing, which provides guidelines on the preparation, structure, timelines, drafting, and proofreading of IOM research reports. It is useful to share these guidelines with project staff and consultants at the start of a research project;
- IN/65: IOM House Style Manual and IN/171: IOM Spelling List are to be used in the preparation of research reports and publications;
- IN/138: IOM Data Protection Principles must be adhered to when conducting primary research.

Once research reports have been produced, they are to be reviewed by the relevant division at Headquarters, as well as the Regional Research Officer or the Research Unit of the Migration Research Division at Headquarters prior to online or print publication. Once feedback has been received, revisions to the report may be required before clearance for publication is received.

The research products will be reviewed on the basis of:

- clarity of the research objective and questions
- methodology employed (including the acknowledgement of limitations)
- accuracy of the data
- quality of the analysis
- formulation of recommendations, which can be both operational and policy-oriented.

Refer to the research report checklist in MA/436: IOM Guidelines on Research Report Writing for additional information on the preparation of a research report.

Once the research report has been cleared for publication by both the Research Unit of the Migration Research Division and the relevant Division at Headquarters, contact the Publications Unit for guidance on preparations for publication (refer also to Annex B of this Handbook).

Once the research report has been published, take steps to maximize the research results and visibility through publicity, press releases, distribution events, information sheets, flyers, and so forth.

## Terms of Reference

(SAMPLE TERMS OF REFERENCE FOR RESEARCH CONSULTANCIES)

**For the consultancy contract of:** *NAME OF THE CONSULTANT*

### 1. Nature of the consultancy:

*REPORT, STUDY, CHAPTER, BACKGROUND PAPER ON ...*

**Objective:**

*OUTLINE THE OVERALL OBJECTIVE OF THE RESEARCH AS WELL AS THE SPECIFIC OBJECTIVE OF THE CONSULTANCY*

**Target audience:**

*FOR EXAMPLE: Governments, universities and academia, migration practitioners*

### 2. IOM project to which the consultancy is contributing:

*INSERT PROJECT TITLE HERE.*

### 3. Tasks to be performed under this contract:

*TASKS SHOULD CLEARLY STATE WHAT IS EXPECTED OF THE CONSULTANT. THIS CAN INCLUDE (BUT IS NOT LIMITED TO):*

- *the methodological approach to be used*
- *specific activities, such as the development of a survey or questionnaire*
- *how the analysis should be structured*
- *participation/presentation in launches, seminars, or other events.*

### 4. Tangible and measurable output of the work assignment:

*THIS IS NORMALLY THE RESEARCH STUDY ITSELF (INCLUDE OTHER ELEMENTS AS NEEDED).*

### 5. Delivery dates and details on how the work must be delivered:

*THIS SECTION IS TO OUTLINE:*

- *format of the paper: page length (indicate whether tables, graphs, or annexes are included), line spacing, font*
- *when outlines, drafts, final versions, or other expected outputs need to be delivered (when relevant, indicate when feedback will be received).*

### 6. Performance indicators for the evaluation of the final output:

*THIS SECTION IS TO OUTLINE:*

- *satisfactory completion of tasks indicated in point 3*
- *quality of the analysis*
- *timely delivery of outlines and/or drafts as indicated in point 5, and the final draft*
- *compliance with IN/65: IOM House Style Manual*
- *delivery of any other tasks indicated above.*

## Annex B IOM Publications

The Publications Unit (PUB), based in Geneva and Manila, is the unit responsible for providing assistance with the editing, design, layout, printing, marketing, distribution, and sales of publications. PUB is also responsible for copyright issues and, in coordination with the Office of Legal Affairs, assigns the International Standard Book Number (ISBN) when needed, and assists with International Standard Serial Number (ISSN) requests for serial publications. It should be noted that, whereas ISBN is managed by PUB and can be quickly assigned, the allocation of ISSN takes longer; this must be taken into consideration when planning your publication. PUB is also responsible for publicizing IOM publications in the wider IOM community and beyond. Contact should be made with PUB to discuss deadlines and requirements when planning a publication.

The following services are provided by PUB:

- publication layout and cover design;
- language and content editing;
- securing the services of external editors and graphic artists;
- reviewing proofs;
- ensuring adherence to IN/65: IOM House Style Manual, IN/171: IOM Spelling List, and MA/2: Corporate ID Manual;
- distribution;
- marketing and sales.

To ensure the smooth running of the publication process (refer to the figure below), project staff must do the following:

- notify PUB of any planned publications, regardless of whether PUB will do the layout;
- adhere to the IOM House Style Manual and the IOM Spelling List;
- have the report content reviewed before submitting the manuscript to PUB;
- ensure that all references are correct and complete;

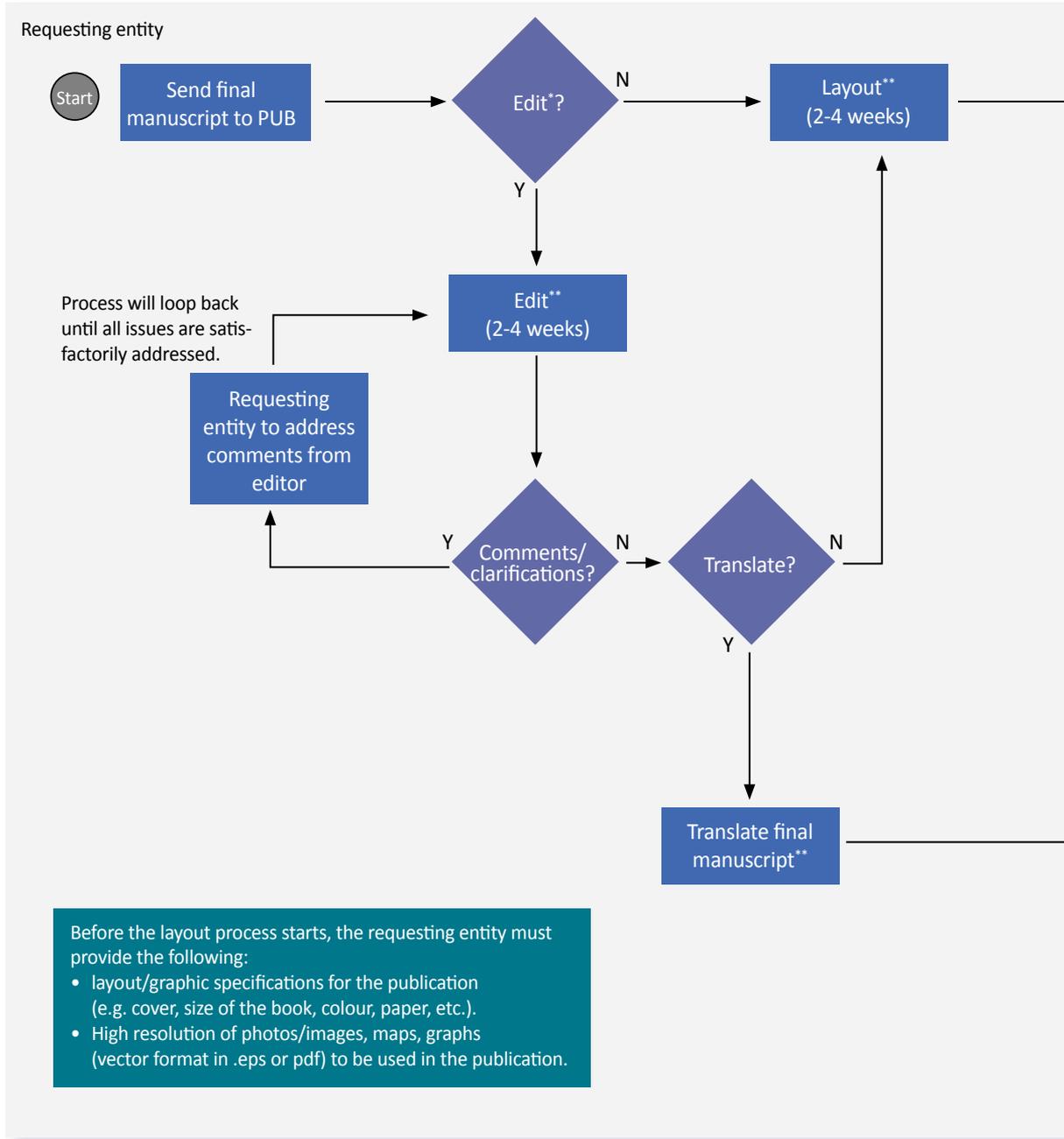
- send only the complete and final version of the report for editing and layout, including the preface, acknowledgements, and so forth;
- provide the text in a Word document, ensuring that standard formatting rules are adhered to;
- provide all graphs, figures, and photos separately in the original format (high resolution);
- provide PUB with a PDF of the final version if prepared locally;
- prepare a blurb for the bookstore and catalogue;
- be involved in the marketing.

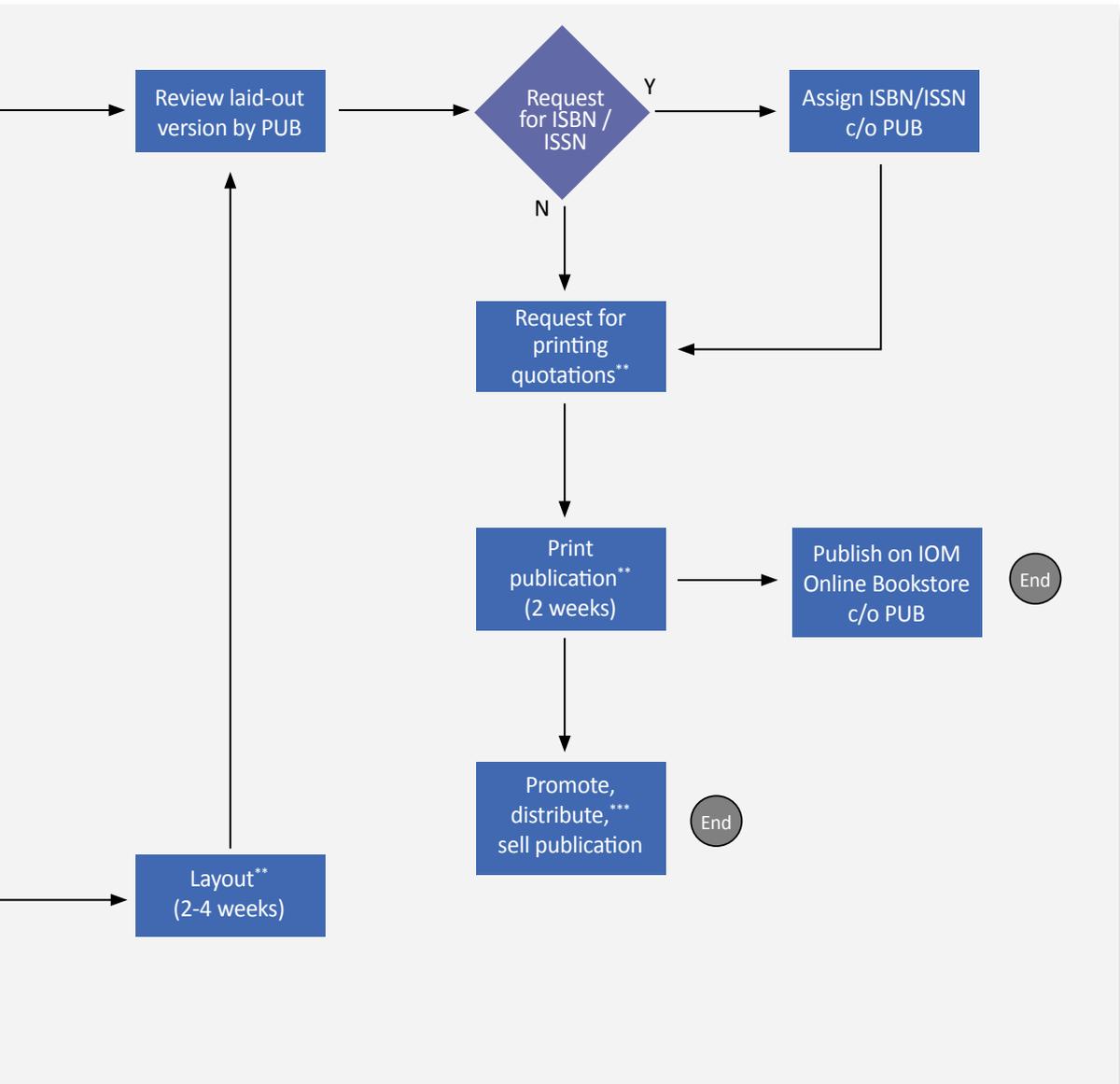
The IOM House Style Manual and the IOM Spelling List, which aim to bring uniformity to the work of authors, editors, and translators, also provide guidance on how to write for the Web. Another useful reference document is MA/436: IOM Guidelines on Research Report Writing. These are available on the IOM Intranet.

Furthermore, guidance and clearance from the relevant service area and PUB should be obtained before materials are finalized and disseminated. Issues regarding copyright (for example, photos used in materials or graphic designs) should be addressed in coordination with the Office of Legal Affairs and PUB or Website, Intranet, and Data Assets Management.

Lastly, project staff must ensure that publication-related costs, such as editing, layout, printing, and distribution, are reflected in project budgets.

## Publications Process





Notes:

- \* In accordance with IOM House Style Manual and Spelling List.
- \*\* May be done either in Manila (MAC), at the local level or at Headquarters.
- \*\*\* Shipping may take 4-14 days depending on the shipping method.

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For queries and comments,  
please send us an email at

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