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**THIRD EVALUATION OF THE 1035 FACILITY**

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## EXECUTIVE SUMMARY

1. Council Resolution No. 1035 of 29 November 2000 requested the Director General “to allocate one million United States dollars from the Discretionary Income for the development of migration projects in favour of developing Member States and Member States in transition, on the basis of an equitable regional distribution, without prejudice to funds already allocated for these purposes”. The IOM Administration allocated USD 1,430,000 to the 1035 Facility in 2001; since then, the total funds allocated each year have reached around USD 1,420,000, including in 2011.

2. To manage the allocation of these funds, the Revision of the Programme and Budget for 2001 (MC/EX/631) outlined the criteria and guidelines established by the IOM Administration. In June 2001, the criteria were completed to take into account suggestions made by Member States. Amended criteria and guidelines derived from the first evaluation were presented to Member States at the Ninety-first Session of the Subcommittee on Budget and Finance (SCBF), held on 4 and 5 May 2004, in document SCBF/265; the second evaluation, conducted in 2005, confirmed their validity as established in 2004. It also reaffirmed some principles such as the focus on capacity-building initiatives, the ownership of Facility-funded projects by benefiting Member States and related obligations in terms of performance, follow-up activities and co-funding, when possible.

3. In 2007, at its Ninety-third (Special) Session, the IOM Council adopted Resolution No. 1150 of 7 June 2007, which stated, *inter alia*, that “25 per cent of Discretionary Income (excluding security) in excess of the 2007 Programme and Budget Discretionary Income of USD 20.5 million will be allocated to an expanded 1035 Facility starting in 2008”, and that “The total amount available for the expanded 1035 Facility (excluding direct voluntary contributions) cannot exceed total miscellaneous income (unearmarked contributions and interest income).” The Resolution also limits access to those new funds, by stating that “Access to funding under Line 2 will be linked to outstanding contributions, and Member States subject to Article 4 will not be eligible for funding.”

4. The funding made available for Line 2 in 2008, 2009 and 2010 was USD 3,047,491, USD 5,048,569 and USD 4,339,499, respectively. The amounts include the voluntary contributions from Member States which are added to Line 2 of the Facility. In 2011, the total amount allocated from Discretionary Income for Line 2 should reach USD 5.7 million; however, this amount will be limited to USD 5.1 million in line with the text of the Resolution, which states that the expanded 1035 Facility funding level (Lines 1 and 2) cannot exceed total miscellaneous income.

5. Apart from the budget ceilings per project and the Line 2 restriction regarding Member States subject to Article 4 (which was not reviewed in the evaluation), Lines 1 and 2 use the same criteria and guidelines for allocating 1035 Facility funds. Regarding daily management, two staff members work full time for the 1035 Facility under the responsibility of the Director of the Department of Migration Management. A database is in place and currently records 326 projects; a second database was created in 2010 in order to regularly collect information on a selected sample of projects so as to assess their outcome, impact and follow-up activities and seed funding from other sources. Guidance notes detailing the procedures for submitting projects and the approval criteria were also prepared in the three official languages to facilitate the preparation and submission of projects by Member States and IOM offices.

6. Following the establishment of Line 2, it was considered relevant to re-examine the criteria and guidelines, specifically to review the differences between Lines 1 and 2 regarding the list of benefiting Member States, the amounts allocated and the administrative and reporting requirements. In addition, the evaluation was expected to re-examine the outcome, impact and sustainability of a number of selected projects covering the period 2005–2009. At the Sixth Session of the Standing Committee on Programmes and Finance (SCPF), held on 10 and 11 May 2010, the 1035 Facility status report (SCPF/41) suggested that the third evaluation be conducted by the Office of the Inspector General, a proposal that was endorsed by the Member States. The overall objective of the evaluation was to evaluate the relevance of the criteria, guidelines and administrative management of the 1035 Facility, taking into account the creation of Line 2 and the Facility's original intent, as well as the performance and achievements of projects implemented within the framework of the Facility, with special focus on their outcome, impact and sustainability.

7. As with previous evaluations, the feedback from IOM Member States was considered important. A questionnaire was therefore sent to all Member States; however, only 13 completed the questionnaire (8 benefiting Member States and 5 non-benefiting Member States). The Office of the Inspector General used these 13 replies to debate on the questions raised in the terms of reference, but did not consider them to represent a consensus. The Office completed the analysis using the views of Member States on similar questions contained in the two previous evaluations. The evaluation report proposes recommendations for the Member States to discuss and endorse at the SCPF meetings.

8. Concerning the analysis of the performance and impact of the 1035 Facility, eight benefiting Member States completed this part of the questionnaire, and an internal impact assessment form was sent to the IOM offices that had benefited from the 1035 Facility. The internal impact assessment was initiated by the 1035 Facility management in August 2010 and covered a five-year period (2005–2009), starting on the year of the second evaluation. A total of 75 projects, representing close to 40 per cent of the projects funded during that period, were selected at random; however, regional balance was taken into account and the number of projects selected per year was limited. Two Missions also provided information on projects that had not been selected, bringing the total of number of projects surveyed to 77. All project areas authorized by the 1035 Facility selection criteria were covered (labour migration, counter-trafficking, migration management, health, migration and development, policy and legal framework, migrant rights). It is important to underline that the aim of the assessment was not to conduct a rigorous evaluation of the impact of the selected projects, which would have required extensive work, time and resources, but to use a self-assessment approach to evaluate the outcome, impact and sustainability of the projects, and to draw subsequent conclusions on the overall outcome and impact of the 1035 Facility.

9. With regard to the eligibility criteria, the evaluation noted that views on the exclusion of the category "with economy in transition", resulting from a literal interpretation of the text of Resolution No. 1150, did not reflect a consensus. The evaluation report does not propose a recommendation that would amend the existing lists of benefiting Member States. The reference to "developing Member States" for Line 2 funding was part of a resolution discussing the IOM Strategy, and the decision concerning an expanded 1035 Facility was included in an annex to the main resolution; the wording, in that case, was certainly not the main focus. However, the evaluation report reminds Member States of the option to voluntarily withdraw, as reported in the first evaluation of the 1035 Facility: "However, during the last Executive Committee meeting in June 2003, an eligible Member State

specifically requested IOM Administration that it be removed from the list of countries entitled to 1035 assistance, thereby ‘demonstrating solidarity with countries whose needs were greater’”.

10. As there are significant increases in the amounts available each year for the 1035 Facility, and considering that voluntary contributions are allocated to Line 2, carrying out a review of the exclusion criteria for some project categories was considered relevant, for instance the funding of specific projects in emergencies not necessarily related to the emergency itself, or for reconstruction projects in post-crisis situations focusing on capacity-building and migration. Thirteen Member States answered the related questions, and there was a clear consensus that capacity-building projects should remain a central focus for 1035 Facility funding.

11. The evaluation report does not, however, make firm conclusions on the need to revise the status of the projects to be excluded from the Facility, and this is particularly valid for the “movement” and “major conferences” categories. However, additional clarifications could be added for the “emergencies” and “assisted voluntary return” categories, and also when examining the projects presented under these two categories during the period 2005–2011. The exclusion of some projects in post-crisis situations which focus on technical assistance for migration management was problematic as this is contrary to the spirit of the Facility.

12. Concerning the funding levels and the application procedures, the status quo can be maintained, except when Member States and IOM offices do not comply with the reporting requirements, in which case penalties could be envisaged. One Member State also proposed that the criteria and guidelines be reviewed in the light of the outcome of the current IOM budget reform process. This proposal could be considered valid, given that Line 2 of the Facility is established according to Discretionary Income levels; however, it could take some time for the reform process to reach a final outcome and this might lead to other restructuring needs within the expanded Facility.

13. In the questionnaire replies, Member States did not raise any issues concerning IOM’s overall management of the expanded Facility. A detailed analysis was conducted on the effectiveness in applying procedures and guidelines, on compliance with the endorsement requirements by IOM Member States and on the reporting mechanisms. No major problems were detected and the evaluation makes positive conclusions on the overall management of the 1035 Facility, including the information shared with IOM Member States. The report notes, however, that, with the expansion of the Facility, the number of projects to review, comment on and submit to the IOM Director General for approval has been increasing. Furthermore, the improved management, through the creation of two databases that require constant monitoring, information sharing with IOM Member States and the monitoring of information exchanges with IOM Missions on project endorsement and implementation, has put pressure on the two IOM staff in charge of the Facility.

14. With regard to outcome and impact analysis, most of the projects assessed attained their expected outcome, in line with initial objectives. It was also noted that some projects had a clear and visible impact, for instance resulting in changes to legislation, the setting-up of new departments responsible for migration, or the approval of policy declarations for inter-State cooperation. It can be concluded that the majority of projects achieved their expected

outcome and/or impact, and that the actions taken by IOM offices and governments may be considered satisfactory in terms of sustainability.

15. Concerning overall outcome and impact, the Facility still has a positive overall impact, in line with initial expectations and the original intent; the second evaluation, conducted in 2005, reached the same conclusion. It should be noted that the increased levels of funding for each approved project also gave additional visibility to the Facility and generated greater interest in it as a funding source for IOM Missions and Member States. The need to secure funding for follow-up projects also diminished as many activities could be covered through the increased budgets available for projects.

## **1. INTRODUCTION**

### **1.1 The 1035 Facility**

16. Council Resolution No. 1035 of 29 November 2000 requested the Director General “to allocate one million United States dollars from the Discretionary Income for the development of migration projects in favour of developing Member States and Member States in transition, on the basis of an equitable regional distribution, without prejudice to funds already allocated for these purposes”. The IOM Administration allocated a total of USD 1,430,000 to the Facility in 2001; in 2002 the final allocation was lower, at USD 1,380,000, but increased again to USD 1,430,000 in 2003. Since then, the total funds allocated to the Facility each year have reached around USD 1,420,000, including for 2011.

17. To facilitate and streamline the allocation of these funds, the Revision of the Programme and Budget for 2001 (MC/EX/631) outlined the criteria and guidelines established by the IOM Administration, on which Member States were invited to comment. In June 2001, the criteria were completed to take into account additional suggestions made by Member States. In 2003, the IOM Administration, in agreement with its Member States, requested the Office of the Inspector General to conduct an evaluation of the Facility, focusing mainly on the relevance of its selection criteria and management guidelines. The evaluation exercise was completed in September 2003, and the report formally presented to the Subcommittee on Budget and Finance (SCBF) in October 2003. The updated criteria and guidelines for using the funds, derived from the evaluation, were presented to Member States at the Ninety-first Session of the SCBF in document SCBF/265 of 29 March 2004.

18. In 2003, a group of Member States led by Canada started informal discussions on the Facility, in parallel with the evaluation process. In June 2004, the group issued a document entitled Proposals to Re-structure the 1035 Facility, which was discussed at the Informal Consultation of 15 September 2004. As a result of the discussion, the Member States invited the IOM Administration to share its comments with all Member States in writing and document IC/2004/9 (Administration’s Comments: Proposals to restructure the 1035 Facility) of 14 October 2004 was distributed. The Administration noted that many of the points contained in the document mirrored or complemented the evaluation published in 2003, pointing out, however, that some of its recommendations ran counter to the views and preferences of most Member States and risked duplicating existing structures and processes. At its Ninety-second Session, held in November 2004, the SCBF decided that all relevant issues discussed in those papers should be examined during the second 1035 Facility evaluation planned for 2005, which would also examine the outcome and impact of the Facility.

19. The second evaluation analysed the documents that had been presented and confirmed the validity of the project endorsement criteria and management guidelines as established in 2004. It also reaffirmed some principles such as the focus on capacity-building initiatives, the ownership of Facility-funded projects by benefiting Member States and obligations in terms of performance, follow-up activities and co-funding, when possible. Furthermore, the evaluation recommended that the control mechanisms for which the 1035 Facility management was responsible be fine-tuned, in particular for complex and regional projects; for instance, by requesting additional letters of endorsement or requiring proof that funding opportunities had been explored before relying on the 1035 Facility as a main source of funding. The evaluation took note of the high quality of the reports prepared

by the 1035 Facility management, the 1035 Facility web page and the publication of a 1035 Facility brochure.

20. In 2007, at its Ninety-third (Special) Session, the Council adopted Resolution No. 1150 of 7 June 2007, which stated, *inter alia*, that “25 per cent of Discretionary Income (excluding security) in excess of the 2007 Programme and Budget Discretionary Income of USD 20.5 million will be allocated to an expanded 1035 Facility starting in 2008” and that “The total amount available for the expanded 1035 Facility (excluding direct voluntary contributions) cannot exceed total miscellaneous income (unearmarked contributions and interest income).” The Resolution also limits access to the new line of funding by stating that “Access to funding under Line 2 will be linked to outstanding contributions, and Member States subject to Article 4 will not be eligible for funding.”

21. The funding made available for Line 2 in 2008, 2009 and 2010 was USD 3,047,491, USD 5,048,569 and USD 4,339,499, respectively.<sup>1</sup> The amounts include voluntary contributions from Member States which are added to Line 2 of the Facility. In 2011, the total amount allocated from Discretionary Income for Line 2 should reach USD 5.7 million; however, this amount will be limited to USD 5.1 million in line with the text of the Resolution, which states that the expanded 1035 Facility funding level (Lines 1 and 2) cannot exceed total miscellaneous income.

22. Apart from the Line 2 restriction regarding Member States subject to Article 4 and the budget ceilings per project, Lines 1 and 2 use the same criteria and guidelines for allocating 1035 Facility funds. Regarding daily management, two staff members work full time for the 1035 Facility under the responsibility of the Director of the Department of Migration Management. A database is in place that currently records 326 projects; a second database was created in 2010 in order to collect information on a selected sample of projects so as to assess their outcome, impact and follow-up activities and seed funding from other sources. Guidance notes detailing the procedures for submitting projects and the approval criteria were also prepared in the three official languages to facilitate the preparation and submission of projects by Member States and IOM offices.

## **1.2 Evaluation scope and methodology**

23. The second evaluation recommended that regular management audits be carried out of the implementation of the Facility, which led to the proposal to conduct a third evaluation in 2010 instead of a management audit, particularly in view of the establishment of Line 2. Document SCPF/41 of 16 April 2010 suggested that the third evaluation be conducted by the Office of the Inspector General, a proposal that was endorsed by the Member States. The Office of the Inspector General prepared the terms of reference for the evaluation (see Annex I).

24. Following the establishment of Line 2, it was considered relevant to re-examine the criteria and guidelines, specifically to review the differences between Lines 1 and 2 regarding the list of benefiting Member States, the amounts allocated and the administrative and reporting requirements. In addition, the evaluation examined the outcome, impact and sustainability of a number of selected projects covering the period 2005–2009; the year 2010

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<sup>1</sup> The amounts reported for Lines 1 and 2 do not include recovered funds from closed projects that did not use their entire budget.

was not included as it was too early to collect information on project impact and sustainability. The overall objective of the evaluation was to evaluate the relevance of the criteria, guidelines and administrative management of the 1035 Facility, taking into account the creation of Line 2 and the Facility's original intent, as well as the performance and achievements of projects implemented within the framework of the Facility, with a special focus on their outcome, impact and sustainability.

25. More specifically, the evaluation investigated, analysed and presented recommendations in the following areas:

- Relevance of the criteria and management guidelines and procedures in line with the original objective and specificity of the Facility, including the establishment of the list of benefiting Member States;
- Effectiveness in strictly applying the criteria and guidelines for the approval of projects to be funded;
- Performance and achievements of funded projects in line with the Facility's objectives, including their outcome, impact and sustainability;
- Effectiveness of the Facility in achieving its overall goals and meeting IOM Member States' expectations;
- Any other issues raised by Member States and the IOM Administration on the objective of the Facility, its financing and reporting to Member States.

26. As with the previous evaluations, the feedback from IOM Member States on the topics proposed for analysis in the evaluation was considered important. A survey similar to the ones conducted for the previous evaluations was prepared and Member States were given one month to complete and return a questionnaire to the Office of the Inspector General. The questionnaire included general questions on the analysis of the criteria and guidelines (to be answered by all IOM Member States), and questions regarding the effectiveness, outcome, impact and sustainability of funded projects (to be completed by benefiting Member States); the focus was primarily on the projects completed in the last three years following the creation of the expanded Facility.

27. By the 9 December 2010 deadline, only a few Member States had completed and returned the questionnaire. Taking into account end-of-year constraints, it was decided to wait and send a reminder to questionnaire recipients in January of the following year. As no further questionnaires were received, a reminder was sent to all Member States on 11 January 2011, extending the deadline to 28 January 2011. Only 13 Member States completed and returned the questionnaire by this date (8 benefiting Member States and 5 non-benefiting Member States).<sup>2</sup>

28. It was considered unrealistic to complete the sample using interviews to attain representative figures, with interviews mainly being used to cross-check data. The Office of the Inspector General used these 13 replies to debate on the questions raised in the terms of reference, but did not consider them to represent a consensus. The Office completed the

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<sup>2</sup> Four replies were from Latin America (Costa Rica, Guatemala, Mexico, Nicaragua), six from Europe and Northern America (Belgium, Bosnia and Herzegovina, Canada, Germany, Hungary, Italy), one from Asia (India) and two from Africa (Algeria, Democratic Republic of the Congo). The questionnaire sent to IOM Member States is contained in Annex II.

analysis using the views of Member States on similar questions contained in the two previous evaluations. Using such relevant background information on the overall Facility, the evaluation report proposes informed conclusions and makes recommendations to Member States for decisions to be taken at the SCPF meetings on issues requiring their attention and agreement. When considered necessary, optional proposals will be presented.

29. Concerning part II of the questionnaire on the analysis of the performance, achievement and impact of the 1035 Facility, the eight benefiting Member States completed this part with information on the projects funded since the creation of Line 2 in 2008. Their replies could not be used as a main source of information because of the limited number of completed questionnaires received; however, they were used for cross-checking data and analysing the data collected from the internal impact assessment form sent in August 2010 to IOM offices that had benefited from the Facility. The assessment was initiated by the 1035 Facility management. It was prepared taking into account the decision to conduct the third evaluation of the Facility and covered the five-year period 2005–2009, starting on the year when the second evaluation had been conducted.

30. A total of 75 projects, representing close to 40 per cent of the projects funded during that period, were selected at random for this impact assessment; however, regional balance was taken into account and the number of projects selected per year was limited. Two Missions also provided information on projects that had not been selected, bringing the total of number of projects surveyed to 77. The number of projects surveyed for each year was as follows: 9 for 2005; 12 for 2006; 14 for 2007; 22 for 2008; and 20 for 2009. There were more projects for the last two years because of the addition of Line 2. As for the regional breakdown, 30 projects were from the African and Middle East region, 13 from Europe, 19 from Latin America and the Caribbean, and 11 from Asia; 4 were multiregional projects. All project areas authorized by the 1035 Facility selection criteria were covered (labour migration, counter-trafficking, migration management, health, migration and development, policy and legal framework, migrant rights).

31. It is important to underline that the assessment did not aim to conduct a rigorous evaluation of the impact of the selected projects, which would have required extensive work, time and resources, but to use a self-assessment approach to evaluate the outcome, impact and sustainability of the projects through the internal impact assessment form sent to IOM offices and the questionnaire sent to Member States, and to draw conclusions on the overall outcome and impact of the 1035 Facility. The impact assessment form included a question on the use of 1035 Facility project funds as seed money for follow-up activities, co-funding or expanded activities funded by other sources; since this was one of the objectives, the impact of the Facility would be deemed successful when its projects had such a follow-on effect.

32. The analysis also needed to take into account the difficulties in measuring the impact of training activities, workshops, research and other technical assistance activities focusing on capacity development. It is not always possible to fund impact assessments in order to identify changes that can be attributed to such activities. The full effects are often perceived only in the long term. Most 1035 Facility-funded projects are related to capacity-building.

33. The definitions used by the Development Assistance Committee of the Organisation for Economic Co-operation and Development for “capacity” and “capacity development” illustrate the complexity of determining the impact of any activities expected to build and reinforce capacity. The term “capacity” is defined as the ability of people, organizations and

society as a whole to manage their affairs successfully; while “capacity development” is understood as the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time. However, within any given country context there are different levels of capacity – national, sub-national, local – and different stages of development in different sectors that finally determine the capacity development response.<sup>3</sup>

34. A documentation review was also conducted of the documents issued for the IOM governing body sessions since the creation of Line 2, IOM reports on the implementation of the 1035 Facility – including brochures and other documents produced for managing the Facility such as guidance notes – specific agreements signed under selected projects and correspondence with Member States and IOM offices. In addition, since April 2010, the 1035 Facility management has been regularly copying the Office of the Inspector General on requests for 1035 Facility funding in order to examine how the process of project development, endorsement and approval functions.

35. Section 2 of this report assesses the criteria and management guidelines and the lists of benefiting Member States. The analysis is based on the feedback from Member States on part I of the questionnaire and from the 1035 Facility management on issues brought to the attention of the Office of the Inspector General during interviews. It also includes an analysis of the effectiveness and rigour of the 1035 Facility management in applying the criteria and guidelines. Section 3 discusses the performance, achievements and impact of the projects funded and of the 1035 Facility in general, taking into account its original intent and basic principles. Section 4 lists the 6 proposed recommendations.

## **2. SELECTION CRITERIA AND MANAGEMENT GUIDELINES**

36. This section covers a third review of the 1035 Facility criteria, guidelines and overall management. The review was considered useful following the creation of the second line (Line 2) in the Facility’s overall budget. An extensive analysis of all the criteria and guidelines used for Line 1 and applied to Line 2 has not been conducted, as these issues were discussed in detail in the evaluations conducted in 2003 and 2005. The main questions to be answered by this section are: (a) Does the creation of Line 2, with its specific requirements as stated in Council Resolution No.1150 of 7 June 2007, necessitate the revision of some criteria and guidelines or the establishment of new ones?; and (b) Has the creation of the expanded Facility hindered its effective management?

### **2.1 The rationale of a review**

37. A Council resolution should not normally be subject to various interpretations, given that the approved text is the result of intense negotiations and discussions. However, clarifications could be required to ensure that the original intent of a resolution is respected. For instance, Council Resolution No. 1035 of 29 November 2000 refers to “developing Member States and Member States in transition”. Since one Member State considered that the wording “transition” could create confusion, it was agreed in a subsequent governing body meeting that the wording used should be Member States “with economy in transition”.

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<sup>3</sup> Enhancing the UN’s Contribution to National Capacity Development – A UNDG Position Statement. United Nations Development Group, October 2006.

38. Council Resolution No. 1150 of 7 June 2007, which establishes the expanded 1035 Facility, refers to “allocating additional funding to support projects in developing Member States”, thus excluding Member States with economy in transition. This sentence should be formally clarified, even if it had not previously been a point of contention among Member States, considering that Member States with economy in transition can also benefit from Line 2. However, with the increased interest in having projects funded by the 1035 Facility, some Member States could argue that focus should be placed on developing Member States in line with the Resolution; the evaluation is a good opportunity to discuss this issue.

39. The sentence specifying that Member States subject to Article 4 of the IOM Constitution are not eligible for funding under Line 2 is clear and will not be discussed here. Furthermore, the restriction applied to Line 1 funding was already extensively discussed in the two previous evaluations, and it was agreed that Member States subject to Article 4 could continue to benefit from projects funded under Line 1.

40. Council Resolution No. 1150 recalls that an amount of USD 1.4 million is allocated to Line 1 (confirming that the amount of USD 1 million mentioned in Council Resolution No. 1035 had been formally increased to USD 1.4 million), and that the Line 2 funding level is dependent on Discretionary Income and voluntary contributions. Since 2008, the lowest amount allocated for Line 2 was approximately USD 3 million, and the highest over USD 5 million.

41. In view of the significant increases in the amounts available each year, it was also considered relevant to examine a possible revision of the exclusion criteria as part of the evaluation; for instance, by exploring the possibility of funding specific projects in emergency situations not related to the emergency itself, and for reconstruction in post-crisis situations, focusing on capacity-building and migration management. The increase in funding availability and the number of projects approved has also put pressure on the 1035 Facility management; for this reason, the resources allocated to the running of the Facility should also be discussed in the analysis.

## **2.2 Selection criteria and management guidelines**

42. The analysis is based on the completed questionnaires returned by Member States and addresses the issues in the same order as they appeared in the questionnaire. This section does not present data as percentages, as they would not be representative in view of the low number of replies received. However, all the opinions expressed by the Member States that replied are reported and the number of positive and negative replies to a question is given to show informative trends.

### **2.2.1 Eligibility**

43. The question on eligibility relates to the exclusion of Member States with economy in transition from the list of benefiting Member States under Line 2 in conformity with the text of Resolution No. 1150, which refers only to “developing Member States” and not “developing Member States and Member States in transition”, as referred to in Resolution No. 1035 for Line 1 funding. The questionnaire listed the countries that would be excluded

from Line 2 if the text of Resolution No. 1150 was interpreted in such a restrictive manner. Based on the World Bank category “upper-middle income economies” used for Line 1 to define countries with economy in transition, the Member States that would be excluded are: Algeria, Argentina, Belarus, Bosnia and Herzegovina, Brazil, Chile, Colombia, Costa Rica, the Dominican Republic, Gabon, Jamaica, Kazakhstan, the Libyan Arab Jamahiriya, Mauritius, Mexico, Montenegro, Namibia, Panama, Peru, Serbia, South Africa, Turkey, Uruguay and the Bolivarian Republic of Venezuela.<sup>4</sup>

44. In the 13 replies, seven Member States agreed with the measure of exclusion, with three of them not adding any specific comments; three Member States justified their choice stating that priority should be given to countries facing major financial constraints, that some countries in the “upper-middle income economies” category are recording impressive economic progress, and that, considering that the financial contribution made by some of these countries to the Administrative Part of the Budget was minimal, they had the capacity to finance projects themselves. One Member State agreed with the exclusion measure, stating that, before being approved, resolution texts are carefully analysed and the subject of detailed discussions and negotiations; this Member State did, however, suggest that the issue should be re-discussed five years after the Resolution’s implementation so as to better evaluate the relevance of such a measure.

45. One Member State said that it could agree to the exclusion measure, considering that its national rules defining contributions to development cooperation funds exclude the category “upper-middle income economies”.

46. Five Member States disagreed with the exclusion measure, all providing essentially the same line of reasoning, namely that the requirements for assistance through the 1035 Facility are not linked only to economic factors, but also to migration realities and constraints that can be addressed through the Facility; two of the Member States that would be excluded confirmed that the funding they received was very useful to meet their increasing migration management needs. Two Member States also argued that the Resolution should not be interpreted with notions that were not in the text itself, with one country stating that the category “developing Member States” was clear enough and included “upper-middle income economies”. One country also stated that the Resolution does not seek to redefine the beneficiaries of the 1035 Facility, since that had been approved in the IOM Strategy.

47. Since the arguments presented above all have merit and deserve attention, it is difficult to propose a recommendation reflecting a consensus. It is therefore important to refer back to the text of Resolution No. 1035, which established the 1035 Facility, and its reference to “Member States (with economy) in transition”. It had been agreed that the best way to define an “economy in transition”, compared with the notion of “developing Member States”, was to use the four categories used by the World Bank, the fourth one being that of “high-income economies”. Since the adoption of Resolution No. 1035 and the subsequent clarifications, this categorization had not been called into question until the adoption of Resolution No. 1150 and its different text.

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<sup>4</sup> This list is given in the questionnaire and could have since changed owing to the addition of new Member States or changes in category.

48. When Resolution No. 1150 was approved, the reference to “developing Member States” for Line 2 funding was part of a discussion on the IOM Strategy, and the decision concerning an expanded 1035 Facility was included in an annex to the main resolution; the wording, in that case, was certainly not the main focus, as was argued by one Member State. The World Bank global categorization of “developing countries” includes “upper-middle income economies”, which could make the category “with economy in transition” of Line 1 obsolete.<sup>5</sup>

49. It should also be considered that some Member States on the list of countries with economies in transition might have the financial capacity to fund projects, and their participation would therefore not be in line with the spirit of the 1035 Facility. However, instead of taking strict measures on exclusion, voluntary withdrawal is an option. The first evaluation of the 1035 Facility reports on such a case as follows: “However, during the last Executive Committee meeting in June 2003, an eligible Member State specifically requested IOM Administration that it be removed from the list of countries entitled to 1035 assistance, thereby ‘demonstrating solidarity with countries whose needs were greater’.”

**Recommendation 1:** That the Member States could agree to the following principles:

- (a) The list of benefiting Member States as currently established for Lines 1 and 2 should be maintained, given that Resolution No. 1150 does not intend to exclude the Member States falling under the category “with economy in transition” (“upper-middle income economy”). The Member States will consider favourably the voluntary withdrawal of eligible countries that fall under the category “with economy in transition”, which could be considered as making a “voluntary contribution” to the 1035 Facility.
- (b) Should the level of Line 2 funding drastically decrease in the future, being established according to the level of Discretionary Income/miscellaneous income, the exclusion of Member States in the category “with economy in transition” could be re-examined.

### 2.2.2 Types of projects

50. As there are significant increases in the amounts available each year for the 1035 Facility, and considering that voluntary contributions are allocated to Line 2, carrying out a revision of the exclusion criteria of some project categories could be relevant; for instance, for funding specific projects in emergencies not necessarily related to the emergency itself, or for reconstruction projects in post-crisis situations focusing on capacity-building and migration. The 13 Member States answered this question, and there was a clear consensus that capacity-building projects should remain a central focus for 1035 Facility funding. One country did not wish to reconsider the categories, stating that the limited funding of the Facility should continue to be directed towards capacity-building projects, rather than towards activities that could be more easily funded by the Operational Part of the Budget.

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<sup>5</sup> Further references to the World Bank lists can be found on its website at <http://econ.worldbank.org>.

51. With nine Member States replying that they did not wish make any changes, the “movement” and “major conferences and similar events that are continuations of ongoing dialogues” categories were not reviewed as part of the evaluation. One Member State agreed to have the “movement” category reviewed, arguing that extending the funding to movement activities could attract more voluntary contributions, and that movements are a main component of the migration process. However, this argument is too general and does not conform to the initial spirit of the 1035 Facility. As for conferences and similar events, one Member State pointed out that regional cooperation and dialogue were very important. However, the criteria do not exclude such events when organized for the first time; funding is refused only when they are a continuation of an existing event, as is the case for the Colombo Process.

52. Concerning the “emergency and post-crisis activities” category, seven Member States were against a revision of its status, five agreed and one had no opinion. Only three Member States added a comment to their reply. In one reply it was argued that, if the requests for funding appropriately targeted areas of migration management arising from crisis and capacity-building activities, this would be in line with the spirit of the Facility; this justification was relevant. In two of the replies it was argued that revising this category would help IOM to react rapidly and flexibly to emergencies; this justification was more problematic. There are other sources of easily accessible funds for this purpose within IOM, as well as through the United Nations. In addition, rapid response mechanisms often require high levels of funding, and the Facility cannot finance such needs. A review of existing emergency funds in IOM for such response mechanisms could be discussed as alternatives.

53. With regard to assisted voluntary return projects, seven Member States agreed to have this category included in the projects benefiting from the 1035 Facility, provided that they were capacity-building activities helping governments implement mechanisms to assist the return and reintegration of their nationals, including assessments on how these programmes and the policies in countries of origin could be improved. The current criteria authorize such disbursements under the “assisted voluntary return” category, with only the return and movement components being excluded.

54. In summary, should the question on the exclusion categories be debated during a governing body session, the same level of agreement and disagreement among Member States would certainly be observed. Therefore, it would be inappropriate to make conclusions on the need to revise the projects excluded from the Facility; this is particularly valid for the “movement” and “conferences” categories. However, additional clarifications could be added for the “emergencies” and “assisted voluntary return” categories, in particular when examining the projects presented under these two categories during the period 2005–2011. The exclusion of some projects in post-crisis situations which focus on technical assistance for migration management was problematic as this is contrary to the spirit of the Facility.

**Recommendation 2:** That the Member States could agree to fund specific activities under the categories of emergency and post-emergency operations, and under assisted voluntary return programmes. Funding could be authorized for projects clearly targeting:

- (a) Capacity-building activities related to migration management implemented after the emergency response and immediate post-emergency phases; support for the management of internally displaced populations remains excluded.

- (b) In countries facing major returns, capacity-building projects intended to set up proper assistance mechanisms for the returnees, to revise policies or to assess the situation in the country of return; the assistance provided should complement funded assisted voluntary return programmes.

### 2.2.3 Funding levels and application procedures

55. As regards the question on funding levels, three Member States disagreed with the current limits, mainly arguing that the funding of a project should be based on its needs and not on maximum levels. However, without limits, the Facility funds could be rapidly exhausted, given that needs are always greater than the funds available. Furthermore, it is important to bear in mind that the Facility was also intended to fund pilot and seed projects, with the expectation that other financial sources would become available for co-funding, for expanding the projects or for sustaining the results.

56. All 13 Member States expressed their continued agreement with the present requirements for the submission and approval of project proposals. Nine Member States considered that, if benefiting countries did not meet reporting requirements, penalties could be envisaged. However, if benefiting Member States have difficulties in complying with the 1035 Facility procedures, they can ask IOM offices to assist them in finalizing the reports. Penalties should be used only as a last resort when the Member State and the IOM office show no effort to comply with reporting requirements. A temporary suspension could be examined, pending the submission of satisfactory reports.

**Recommendation 3:** When a project is approved, the 1035 Facility management should regularly remind the benefiting Member States and IOM Missions of the reporting requirements, and inform them of the risk of penalties for non-compliance. The suspension of disbursements could be a possibility, pending the submission of reports. The 1035 Facility management should also emphasize the shared responsibilities for reporting, taking into account that IOM Missions can assist the Member State(s) in that regard.

### 2.2.4 Miscellaneous issues

57. Two Member States added comments under this section of the questionnaire. One Member State suggested that the criteria and guidelines be reviewed in the light of the outcome of the current IOM budget reform process. This proposal could be considered valid, given that Line 2 of the Facility is established according to Discretionary Income levels; however, it could take some time for the reform process to reach a final outcome and this might lead to other restructuring needs within the expanded Facility. Some of the recommendations presented in this evaluation could, nonetheless, already be implemented as no major changes are proposed, only clarifications and adjustments.

58. Another Member State suggested examining the establishment of subcategories of benefiting Member States in order to determine other priorities for accessing the funds, for instance least developed countries, or small islands and landlocked countries with economies under development. Such options could be considered in the future if the funding level of the Facility changes and fewer resources are available. In line with the previous comment, this could be examined under the budget reform.

59. Concerning the question of voluntary contributions to the 1035 Facility, and in view of the responses received, no changes to the current situation should be expected. Voluntary

contributions vary, depending on the level of unearmarked contributions that Member States allocate to IOM every year, which can depend on the financial constraints placed on Member States by their national budgets. One country stated, however, that it is considering increasing its unearmarked contributions, which could then be allocated to Line 2.

60. One problem was noted however during the analysis of the outcome and impact of the projects. In case of a reduction in the level of funding available or an increase in requests for funding made by benefiting Member States, which puts pressure on the allocation of funds, more consideration should be given to the overall percentage allocated to the purchase of equipment and set-up of offices for projects with capacity-building activities. The beneficiary government(s) should make efforts to bear the costs, or some costs, for office space and purchasing equipment, which can be considered as a financial or in kind contribution to the project.

61. Another issue that could be discussed under the evaluation was raised at the autumn SCPF session held in 2010. One Member State noted that, to respect the regional balance, the African region should have received 37 per cent of the total budget, whereas it received only 35 per cent of the expanded Facility allocation. This situation was explained as being the result of a change during the year in the status of Member States subject to Article 4 and therefore not entitled to Line 2 funding. The regional balance allocation is calculated at the beginning of the year, taking into account the number of countries in a region, but excluding countries subject to Article 4. If, during the year, a country pays its contributions or part of its contributions and is no longer subject to Article 4, then the number of countries in its region increases, thereby increasing the percentage to be allocated to the region.

62. Since many Member States subject to Article 4 are from the African region, a decrease in the number of penalized countries can affect the percentage allocated per year; by 2 per cent in the case in question (USD 200,000). In order to reduce the possibility of such discrepancies, deadlines for the submission of projects have been established in March and June. In June, the regional distribution is revised, so that any country no longer subject to Article 4 can be included in the calculation of the final regional balance. The month of June is relevant as Member States subject to Article 4 can announce any changes to their status at the spring session of the SCPF, or at the Executive Committee meeting.

**Recommendation 4:** That the Member States could endorse the following proposals regarding some aspects of the 1035 Facility criteria and guidelines:

- (a) Any major revision beyond the recommendations made in this report could be examined in the framework of the IOM budget reform, in particular any issues stemming from a change in the Discretionary Income definition resulting, for instance, in a possible reduction in funds allocated to Line 2.
- (b) In case of an increase in project requests which puts pressure on an equitable allocation of funds to all benefiting Member States during a given year, the 1035 Facility management should consider diminishing the budget of projects with more than 50 per cent of funds allocated to office furniture and equipment in the framework of a capacity-building initiative, encouraging the benefiting Member States to bring an in kind or financial contribution to the project equivalent to the reduced amount.

- (c) The benefiting Member States should note and endorse the proposal of the 1035 Facility management to establish deadlines for the submission of projects and for the amount of funding per region to be fixed on 30 June of each year; this measure would help to improve the allocation planning for the remaining part of the year.

### **2.2.5 The 1035 Facility management**

63. In the questionnaire replies, Member States did not raise any issues on IOM's overall management of the expanded Facility. A detailed analysis was conducted on the effectiveness in applying procedures and guidelines, on the types of projects submitted – including both accepted and rejected projects – on compliance with endorsement requirements by IOM Member States and on the reporting mechanisms. No major problems were detected, apart from delays in the reporting of some projects as underlined previously. The evaluation concludes that the overall management of the 1035 Facility is efficient.

64. With regard to the information shared with IOM Member States, the reports produced for the SCPF meetings were considered to be relevant and to provide useful information on the projects that had been approved and their regional distribution; no changes are recommended. The information flow to Member States also includes the IOM 1035 Facility Newsletters, which contain articles on some 1035 Facility-funded initiatives, and the IOM 1035 Facility web page ([www.iom.int/1035](http://www.iom.int/1035)), which includes useful information on funded projects, application procedures (including project and letter of endorsement templates), the distribution of allocations per project category, or the list of benefiting Member States. Guidance notes and info sheets on the Facility, translated into the three official IOM languages, are sent regularly to IOM Member States (see the guidance note in Annex III). Furthermore, the 1035 Facility management can easily be contacted by Member States requiring additional information, in particular through its e-mail address ([1035facility@iom.int](mailto:1035facility@iom.int)).

65. Two important management tools should be mentioned. A database for the management of all projects is in place and currently records 326 projects; a second database was created in 2010 in order to collect information on a selected sample of projects so as to assess their outcome, impact, follow-up activities and seed funding from other sources.<sup>6</sup> On a yearly basis, a sample of Missions will be asked to provide information on the outcome, impact and sustainability of 1035 Facility-funded projects. A database of rejected projects should also be kept separately.

66. Regarding daily management, two staff members work full time for the 1035 Facility, namely the 1035 Facility Administrator and the 1035 Facility Finance and Administrative Assistant, and are under the supervision of the Director of the Department of Migration Management. These two positions were approved by the IOM Member States. With the expansion of the Facility, in particular with the increase in voluntary contributions, the number of projects to review, comment on, analyse and submit to the Director General for approval has been increasing. Furthermore, the improved management, through the creation of two databases that require constant monitoring, information sharing with IOM Member States and the monitoring of information exchanges with IOM Missions on project endorsement and implementation, has put pressure on the two IOM staff in charge of the Facility.

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<sup>6</sup> Annex IV provides samples of the information sheets and the evaluation forms used in the two databases.

67. An intern is currently working with the 1035 Facility management to help reduce the workload; however, this remains an interim solution, given that interns are recruited only for short periods. Major needs have been identified for monitoring project reporting, including financial reporting and closure of accounts, and for other monitoring aspects such as sustainability, co-funding and seed money. A second finance and administrative assistant could be recruited to focus on those issues, while the other assistant remains focused on the two databases and information management. A more precise analysis should be conducted to determine the grade and costs for a third position.

68. Other staff from the Department of Migration Management also contribute to the management of the 1035 Facility by commenting on project proposals and checking their conformity with IOM migration management policies and strategies. The 1035 Facility management is responsible for project endorsement in terms of compliance with the 1035 Facility and for making recommendations to the Director General on projects submitted for his approval.

**Recommendation 5:** The 1035 Facility management should analyse more precisely the staffing needs to ensure a sound management of the Facility and provide the Member States with terms of reference for one additional staff member and the related funding implications. The Member States can, however, already endorse the principle that the position could be funded by a small percentage of the 1035 Facility, as is already the case for the current positions. Such an “overhead” percentage is common practice for the management of special funds and trust funds within the United Nations system. A database of rejected projects should also be created.

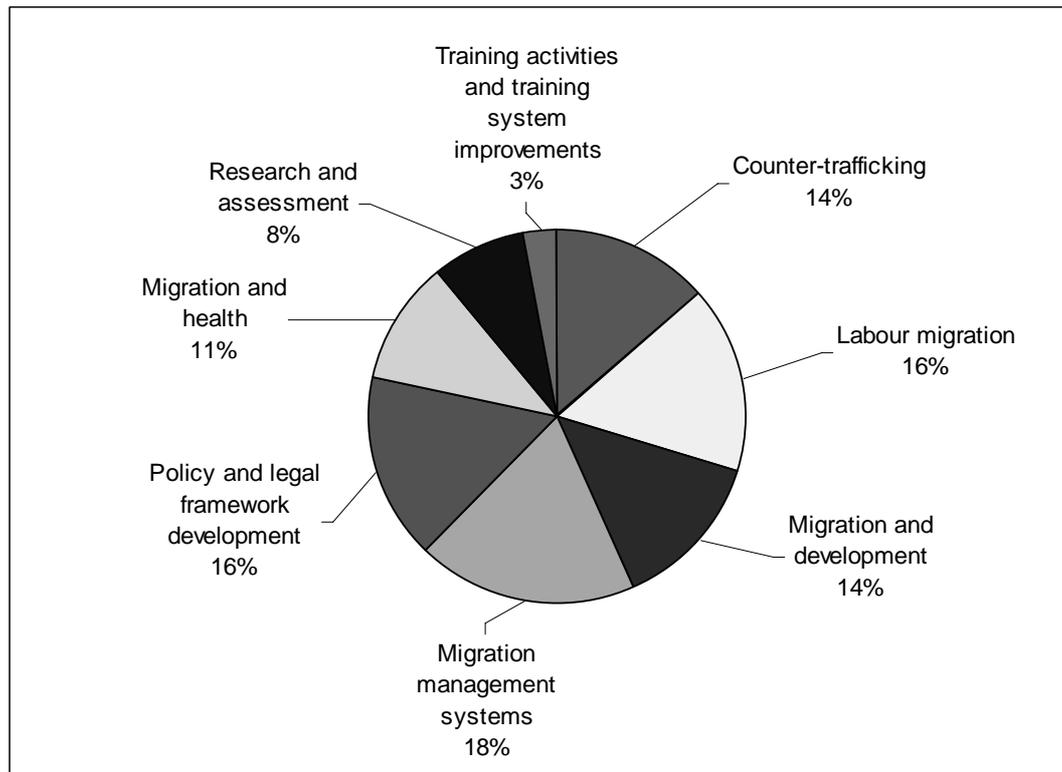
### **3. PERFORMANCE AND ACHIEVEMENTS OF THE 1035 FACILITY**

69. This section first gives a brief description of the projects funded in 2010 and those selected for the project outcome, impact and sustainability assessment, while also briefly examining their relevance to the established criteria. It then analyses the outcome, impact and sustainability of the projects as presented by the Member States and the IOM Missions in their replies, as well as the overall effectiveness of the Facility in meeting its objectives and the expectations of Member States. The methodology and its constraints were already presented in section 1 and will not be discussed again in this section.

#### **3.1 Projects funded by the 1035 Facility**

70. As of November 2010, the IOM Director General had approved 37 projects in 50 countries for the year 2010 covering a range of migration-related capacity-building initiatives with project budgets between USD 46,000 and USD 200,000. The following pie chart illustrates the categories of projects funded through the Facility in 2010.

**Percentage distribution of 1035 Facility allocations per project category, 2010**



71. When examining the sample of projects selected for the internal impact assessment, the same diversified distribution can be noted. However, the funding level is quite different for the period 2005–2007 compared with the period 2008–2010, as only Line 1 of the Facility was open at that time. Therefore, the amount of funding for the projects selected ranged from USD 20,000 to USD 100,000, with only some regional projects being allocated funding for amounts between USD 100,000 and USD 200,000.

72. It is interesting to note, however, that the descriptions of project outcome, impact and sustainability given in the internal impact assessment form sent to IOM Missions are not necessarily less detailed during the 2005–2007 period of lower budgets; a higher funding level is not synonymous with greater impact and sustainability. Based on the assessment, we can also note that the results for seed projects were better during the period 2005–2007, before the establishment of Line 2. This can be explained by the fact that, with less money available, it is necessary to look for additional financial resources; this can generate increased follow-up activities and other funding sources.

73. The low budget level authorized for Line 1 was, however, putting more pressure on IOM Missions and governments, which had to develop another more expanded project document and lobby for additional resources. Furthermore, a lower budget level is not per se a guarantee of effective follow-up on attracting other financial resources, even if the 1035 Facility-funded project is successful. The statement that seed projects were less effective for the period 2008–2009 should also be treated with caution as positive effects can occur once the projects have been closed, as was noted for some projects from the period 2005–2007, the effects of which were observed in 2008 or 2009.

### 3.2 Outcome, impact and sustainability

74. Part II of the questionnaire sent to Member States and the internal impact assessment form sent to the IOM Missions asked respondents to carry out a self-assessment of the outcome, impact and sustainability (including seed money) of the projects funded by the Facility. All answers received made a distinction between these concepts and can be effectively discussed and analysed. Some elements regarding the outcome were taken from the final reports, in particular for the projects implemented at the start of the period 2005–2009; some of these projects had been implemented by other project managers.

75. Concerning the outcome and impact analysis, IOM offices considered that most of the projects assessed attained the expected outcome, in line with initial objectives. Some projects also had a visible impact, for instance resulting in changes to legislation, the setting-up of new departments responsible for migration, or the approval of policy declarations at regional workshops and conferences changing the level of cooperation among States.

76. Of the 77 projects surveyed, only 16 were considered to have had a mixed impact or a lower than expected impact. Some offices confirmed that the projects had achieved the expected outcome, but expressed doubts about their longer-term impact due to: lack of interest by benefiting Member States in pursuing follow-up initiatives (three cases); changes in government structures resulting in different migration management priorities (two cases); and fewer resources to finance follow-up initiatives developed within the 1035 Facility-funded project.

77. It should be noted that, for some training activities, research projects and workshops, the impact could not be clearly reported as it was difficult to measure, particularly for regional projects. For projects focusing on training, most feedback referred to the project outcome, confirming the level of satisfaction of governments and participants; it was not possible to provide information on the impact of the training, for instance in terms of the effects within government. Other IOM offices considered that the longer-term impact of those types of projects was evident as the projects led to: the creation of new government structures; the funding of longer-term projects following recommendations on research work for instance; and the signature of regional agreements.

78. Concerning the question on whether discussions or follow-up actions were, or had been, taking place with governments to guarantee the sustainability of the projects, with regard to a total of 57 projects funded by the Facility, 26 IOM offices reported that there had been a seed money effect through: project extensions funded by other sources; a continuation of activities funded by the governments; or new projects stemming from the 1035 Facility-funded projects. Of the 77 projects surveyed, 20 were not included in the analysis as they were implemented in 2009 and it was difficult to certify the results of follow-up activities; many IOM offices referred to pending results. The same applied to projects mentioned by Member States which were implemented between 2008 and 2010, as many of them were still ongoing.

79. Contrary to outcome and impact, sustainability is not always a necessary indicator for measuring project success, even if it is a positive achievement. Some projects may have a great impact without being maintained, for instance research leading to the approval of new migration legislation or assessments of migration trends: as soon as the government makes a decision on the use of the product, the project can be closed. As reported in the internal

impact assessment and the questionnaire, IOM offices and governments generally took initiatives to discuss follow-up activities and project extensions when necessary, in order to build on results achieved by the 1035 Facility-funded projects. This is a sign of commitment to make the best use of the Facility; however, not all projects were extended or led to follow-up activities.

80. To summarize discussions on the outcome, impact and sustainability of the projects, it can be concluded that a large majority of them achieved their expected outcome and/or impact. In terms of sustainability, the actions taken by IOM offices or governments can be considered satisfactory and a majority of the projects surveyed had follow-up activities when needed or the project results remained functional, for instance when drawing up an action plan on migration management activated by the government.

81. It is difficult to obtain precise information on the overall outcome and impact of the Facility, and a methodology based on “wise judgement” must be used when drawing conclusions. Elements that can affect the overall outcome and impact of the Facility include: a limited level of funds (and therefore of action); the lack of response and interest from governments; and regional dispersion that affects implementation. According to the sample of projects surveyed and replies from Member States, such negative factors remain exceptions.

82. The Facility is still perceived to have a positive overall impact, in line with initial expectations and original intent; the second evaluation, conducted in 2005, reached the same conclusion. Of the eight Member States that completed part II of the questionnaire, seven considered that the 1035 Facility met its objective and had a positive global outcome. One Member State did not answer this question. It should be noted that the increased levels of funding for each project approved also gave additional visibility to the Facility and generated greater interest in it as a funding source for IOM Missions and Member States. The need to secure funding for follow-up projects also diminished as many activities could be covered through the increased budgets available under the expanded Facility.

**Recommendation 6:** The 1035 Facility management is encouraged to continue using the database created for the survey on the outcome, impact and sustainability of projects funded by the Facility in order to regularly collect information on those achievement criteria and to include its analysis in the reports submitted to the SCPF.

#### **4. SIX PROPOSED RECOMMENDATIONS**

**Recommendation 1:** That the Member States could agree to the following principles:

- (a) The list of benefiting Member States as currently established for Lines 1 and 2 should be maintained, given that Resolution No. 1150 does not intend to exclude the Member States falling under the category “with economy in transition” (“upper-middle income economy”). The Member States will consider favourably the voluntary withdrawal of eligible countries that fall under the category “with economy in transition”, which could be considered as making a “voluntary contribution” to the 1035 Facility.

- (b) Should the level of Line 2 funding drastically decrease in the future, being established according to the level of Discretionary Income/miscellaneous income, the exclusion of Member States in the category “with economy in transition” could be re-examined.

**Recommendation 2:** That the Member States could agree to fund specific activities under the categories of emergency and post-emergency operations, and under assisted voluntary return programmes. Funding could be authorized for projects clearly targeting:

- (a) Capacity-building activities related to migration management implemented after the emergency response and immediate post-emergency phases; support for the management of internally displaced populations remains excluded.
- (b) In countries facing major returns, capacity-building projects intended to set up proper assistance mechanisms for the returnees, to revise policies or to assess the situation in the country of return; the assistance provided should complement funded assisted voluntary return programmes.

**Recommendation 3:** When a project is approved, the 1035 Facility management should regularly remind the benefiting Member States and IOM Missions of the reporting requirements, and inform them of the risk of penalties for non-compliance. The suspension of disbursements could be a possibility, pending the submission of reports. The 1035 Facility management should also emphasize the shared responsibilities for reporting, taking into account that IOM Missions can assist the Member State(s) in that regard.

**Recommendation 4:** That the Member States could endorse the following proposals regarding some aspects of the 1035 Facility criteria and guidelines:

- (a) Any major revision beyond the recommendations made in this report could be examined in the framework of the IOM budget reform, in particular any issues stemming from a change in the Discretionary Income definition resulting, for instance, in a possible reduction in funds allocated to Line 2.
- (b) In case of an increase in project requests which puts pressure on an equitable allocation of funds to all benefiting Member States during a given year, the 1035 Facility management should consider diminishing the budget of projects with more than 50 per cent of funds allocated to office furniture and equipment in the framework of a capacity-building initiative, encouraging the benefiting Member States to bring an in kind or financial contribution to the project equivalent to the reduced amount.
- (c) The benefiting Member States should note and endorse the proposal of the 1035 Facility management to establish deadlines for the submission of projects and for the amount of funding per region to be fixed on 30 June of each year; this measure would help to improve the allocation planning for the remaining part of the year.

**Recommendation 5:** The 1035 Facility management should analyse more precisely the staffing needs to ensure a sound management of the Facility and provide the Member States with terms of reference for one additional staff member and the related funding implications. The Member States can, however, already endorse the principle that the position could be funded by a small percentage of the 1035 Facility, as is already the case for the current positions. Such an “overhead” percentage is common practice for the management of special funds and trust funds within the United Nations system. A database of rejected projects should also be created.

**Recommendation 6:** The 1035 Facility management is encouraged to continue using the database created for the survey on the outcome, impact and sustainability of projects funded by the Facility in order to regularly collect information on those achievement criteria and to include its analysis in the reports submitted to the SCPF.

## Annex I

### TERMS OF REFERENCE

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#### **THIRD EVALUATION OF THE 1035 FACILITY: SUPPORT FOR DEVELOPING MEMBER STATES AND MEMBER STATES WITH ECONOMY IN TRANSITION**

#### **1. BACKGROUND**

Council Resolution No. 1035 (LXXX), adopted at IOM's four hundred and thirty-second meeting on 29 November 2000, requested *'the Director General to allocate one million United States dollars from the Discretionary Income for the development of migration projects in favour of developing Member States and Member States in transition, on the basis of an equitable regional distribution, without prejudice to funds already allocated for these purposes'*. A total of USD 1,430,000 was allocated to the Facility for its first year in 2001. The amounts allocated the following years were established at approximately the same level of USD 1,400,000.

In 2007 at its Ninety-third (Special) Session, the Council adopted Resolution No. 1150 of 7 June 2007 stating, inter alia, that *'25 per cent of Discretionary Income (excluding security) in excess of the 2007 Programme and Budget Discretionary Income of USD 20.5 million will be allocated to an expanded 1035 Facility starting in 2008'* and that *'the total amount available for the expanded 1035 Facility (excluding direct voluntary contributions) cannot exceed total miscellaneous income (unearmarked contributions and interest income)'*. The Resolution also limits access to those new funds stating that *'access to funding under Line 2 will be linked to outstanding contributions, and Member States subject to Article 4 will not be eligible for funding'*. The funding made available for Line 2 in 2008, 2009 and 2010 was USD 3,047,491, USD 5,048,569 and USD 4,339,499 respectively.<sup>1</sup> The amounts include the voluntary contributions from Member States, which are added to the second Line of the Facility.<sup>2</sup>

Apart from the restriction for Line 2 regarding Member States subject to Article 4 and the budget ceilings per project, Lines 1 and 2 use the same criteria and guidelines for allocating Facility funds, established by IOM's Administration in 2001 to facilitate and streamline allocation of these funds and outlined in Document MC/EX/631, upon which Member States were invited to comment. In June 2001, the criteria and guidelines were completed to take into account additional suggestions made by Member States. In 2003, IOM's Administration, in agreement with its Member States, requested the Office of the Inspector General (OIG) to conduct an evaluation of the Facility that included an analysis of the criteria and guidelines. The new criteria and guidelines for utilizing the funds, derived from the evaluation, were presented to the Member States at the Ninety-first Session of the SCBF in Document SCBF/265 of March 2004 and approved.

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<sup>1</sup> The amounts reported for Line 1 and 2 do not include the balance carried forward from projects which did not start in time or which did not use the entire budget.

<sup>2</sup> As the ToRs were prepared before the end of the year, contributions for 2010 could still be credited to Line 2.

In 2003, a group of Member States led by Canada also started informal discussions on the Facility, in parallel with the evaluation process. The resulting document, 'Proposals to Re-structure the 1035 Facility', was discussed in 2004 and the Administration invited to share its comments further in writing with all Member States. Document IC/2004/9 'Administration's Comments: Proposals to Re-structure the 1035 Facility' was distributed in September 2004 and the Administration suggested that a second OIG evaluation of the Facility, already scheduled for 2005, be used as an opportunity to review any relevant issues raised in the 'Proposals to Re-structure the 1035 Facility' document. Following the second evaluation, small adjustments were made to the criteria and management guidelines in 2006. The second evaluation also recommended conducting regular management audits of the implementation of the Facility, which led to the decision to conduct a third evaluation in 2010, particularly in view of the establishment of Line 2.

## **2. EVALUATION OBJECTIVES**

As suggested in Document SCPF/41 of 16 April 2010, the third evaluation will be conducted by the Office of the Inspector General. Following establishment of Line 2, it is relevant to re-examine the criteria and guidelines, especially as there are already differences between the Lines regarding the allocation of funds and limitations for Member States subject to Article 4. The list of Member States entitled to the Facility also merits review, as well as the administrative and reporting requirements. The overall objective of the evaluation is:

**To evaluate the relevance of the criteria, guidelines and administrative management of the 1035 Facility taking into account the creation of the Line 2 and the Facility's original intent, as well as the performance and achievements of projects implemented within the framework of the Facility, with a special focus on their outcome, impact and sustainability.**

More specifically, the evaluation will investigate, analyse and present recommendations in the following areas:

- Relevance of the criteria and management guidelines and procedures in line with the original objective and specificity of the Facility, including the establishment of the list of benefiting Member States;
- Effectiveness in strictly applying the criteria and guidelines for the approval of projects to be funded;
- Performance and achievements of funded projects in line with the Facility's objectives, including also the outcome, impact and sustainability;
- Effectiveness of the Facility in achieving its overall goals and meeting IOM Member States' expectations;
- Any other issues raised by Member States and the IOM Administration on the objective of the Facility, its financing and its reporting to Member States.

## **3. EVALUATION METHODOLOGY**

As with the previous evaluations, it will be essential to receive feedback from the Member States on the topics proposed for analysis under the objectives of the evaluation. A survey will be conducted and sufficient time given to complete the questionnaire and forward it to the Office of the Inspector General. Confidentiality will be guaranteed. The survey will include

general questions concerning the analysis of the criteria and guidelines, as well as questions regarding the effectiveness, outcome, impact and sustainability of funded projects, focusing primarily on the recent projects completed in the last three years following the creation of the expanded Facility. Interviews will be conducted to complement the data.

Analysis of the performance, achievement and impact will be complemented with an analysis of the reporting database established by the IOM Administration for the management of the Facility and with the specific survey initiated recently with IOM's Missions worldwide. Cross-checking analysis will be made through a document review, in particular activity reports, and through specific interviews.

Documentation to be reviewed will include the list of projects, activity and project performance reports, financial data, correspondence with Member States and IOM field offices, specific agreements and sub-agreements signed within the framework of selected projects, follow-up projects and any other material relevant to the exercise. These documents will be provided primarily through the 1035 Facility management at Headquarters and appropriate IOM field offices.

#### **4. RESOURCES AND TIMING**

The Evaluation Officer of the Office of the Inspector General will conduct the evaluation. Costs for the evaluation will be borne by OIG.

Reports on the status of the evaluation exercise and on the preliminary and final results could be presented to Member States at either or both informal consultations and SCPF meetings in 2010 and 2011.

It is anticipated that the questionnaires will be sent to Member States in October 2010, with a timeframe of one month for their completion. Interviews with Member States and groupings of Member States will take place immediately after the Evaluator's initial review of the questionnaire input.

A final report should be issued during the first quarter of 2011 at the latest.



## Annex II

### QUESTIONNAIRE FOR MEMBER STATES

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#### **THIRD EVALUATION OF THE 1035 FACILITY: SUPPORT FOR DEVELOPING MEMBER STATES AND MEMBER STATES WITH ECONOMY IN TRANSITION**

The questionnaire is divided into two parts, as described below.

**Part I** covers a third review of the 1035 Facility criteria, guidelines and overall management. The review is considered necessary following the creation of a second line (Line 2) in the Facility's overall budget. The questions raised will not cover all the criteria and guidelines used for Line 1 and extended to Line 2, as these were extensively discussed in the evaluations conducted in 2003 and 2005. The main question raised by this third evaluation is: *Does Line 2 with its specific requirements as stated in Council Resolution No. 1150 require the establishment of different criteria and guidelines?*

In particular, Council Resolution No. 1035 of 29 November 2000 refers to "developing Member States and Member States in transition" (specified later as Member States *with economy in transition*) and a list of benefiting Member States was established with those categories in mind. Council Resolution No. 1150 of 7 June 2007 (annex, Part III) refers only to "allocating additional funding to support projects in developing Member States". Another major difference between the two lines regarding benefiting Member States is that Resolution No. 1150 specifies that Member States subject to Article 4 will not be eligible for funding under Line 2. This principle will not be discussed, as the purpose of the Resolution is clear and possible restrictions on Line 1 funding were also extensively discussed in the two previous evaluations.

Council Resolution No. 1150 recalls that an amount of USD 1.4 million is allocated to Line 1, yet the amount for Line 2 cannot be specified as it is based on a percentage of Discretionary Income and on voluntary contributions. Since 2008, the lowest amount for Line 2 was approximately USD 3 million and the highest USD 5 million. Council Resolution No. 1150 specifies that the maximum amounts authorized for national and regional projects alike will be increased for Line 2, and that follow-up activities of projects implemented under Line 1 will be authorized. As there are significant increases in the amounts available every year, and considering that voluntary contributions are allocated to Line 2, it could be relevant to consider carrying out a revision of the initial criteria used for excluding some project categories, such as funding for specific projects in emergencies not necessarily related to the emergency itself (for instance, counter-trafficking activities) or for reconstruction projects in post-crisis situations focusing on capacity-building and migration.

**The annexes to the questionnaire include a 1035 Facility guidance note on the criteria and guidelines for easy reference, Council Resolution No. 1150 and the Terms of Reference of the evaluation (English only). It is essential to have the broadest participation of Member States in the evaluation exercise in order to draw conclusions on the criteria and management guidelines, based on a consensus.**

**Part II** will mainly cover the analysis of the performance and impact of the projects funded by the 1035 Facility during the last three years (2008–2010) and the overall outcome and impact of the Facility based on its original objective. The evaluation will examine the possible additional benefits and constraints that can be specifically attributed to Line 2. Part II should be completed by Member States that have benefited from 1035 Facility funded projects, including regional projects. Similarly to Part I, the participation of Member States is a key element for measuring 1035 Facility impact and outcomes.

Queries regarding the questionnaire can be sent to Mr. Christophe Franzetti, the IOM Evaluation Officer, at the following e-mail address: [cfranzetti@iom.int](mailto:cfranzetti@iom.int); or to Evaluation/Office of the Inspector General: [eva@iom.int](mailto:eva@iom.int).

The questionnaire should be completed and returned before **9 December 2010** to the same address, or sent by fax using the following number: (41) 22 798 61 50. Confidentiality will be guaranteed.

Thank you in advance for your contribution.

Office of the Inspector General  
IOM Headquarters, Geneva

**PART I: SELECTION CRITERIA AND MANAGEMENT GUIDELINES**

**Eligibility:**

1. **Do you agree with the following statement?** *Council Resolution No 1150, which established Line 2 of the 1035 Facility, refers only to ‘developing Member States’ and not to ‘Member States with economy in transition’, therefore the list of countries falling under the World Bank category ‘Upper-middle-income economies’ used as the reference for Line 1 for the category ‘in transition’ should not apply to Line 2. Those countries listed under the World Bank category ‘Upper-middle-income economies’ will therefore no longer be eligible for funding for national projects under Line 2 and only Member States falling under the World Bank categories of ‘Low-income economies’ and ‘Lower-middle-income economies’ will remain eligible for Line 2 funding for national projects.*

*Access to Line 2 regional projects will remain possible for Member States which fall under the category ‘Upper-middle-income economies’ provided that the Member States are not subject to Article 4 of the Constitution; In addition, the majority of the beneficiaries for these Line 2 regional projects should be Member States falling under the ‘Low-income economies’ and ‘Lower-middle-income economies’ categories.*

*The allocation of funds under Line 2 will thus be directed towards developing countries facing major financial constraints. The following Member States fall under the ‘Upper-middle-income economies’ category: Algeria, Argentina, Belarus, Bosnia and Herzegovina, Brazil, Chile, Colombia, Costa-Rica, Dominican Republic, Gabon, Jamaica, Kazakhstan, Libya, Mauritius, Mexico, Montenegro, Namibia, Panama, Peru, Serbia, South Africa, Turkey, Uruguay and Venezuela RB.*

**I AGREE**

**I DISAGREE**

**I PARTIALLY AGREE**

**Please explain:**

**Types of Projects:**

2. **Given the creation of Line 2 and the increased funds allocated to the Facility, should the following list of activities articulated below (which are currently excluded from 1035 Facility funding) be revised and activities be eligible to Line 2 funding?**

**a. Movements**

**YES**

**NO**

**If YES, please explain:**

**b. Emergencies and post-crisis**

YES  NO

If YES, please explain:

**c. Major Conferences and similar events that  
are continuations of on-going dialogues**

YES  NO

If YES, please explain:

**d. Assisted Voluntary Return project**

YES  NO

If YES, please explain:

**Comments if any:**

**Funding Levels :**

3. Do you agree with the maximum budget level for individual projects under Line 1 and Line 2 and the possibility for exceptional approval of higher budget levels for regional projects under Line 1?

YES

NO

If NO, please explain:

**Application Procedures:**

**Do you agree with the present requirements for the submission and approval of proposals by eligible Member States?**

YES

NO

If **NO**, please explain:

**4. Do you consider that a Member State responsible for a project that does not report as required, should be penalized by withholding additional disbursements, pending the receipt of relevant reporting?**

YES

NO

If **NO**, please explain:

**Miscellaneous:**

**5. Would you like to add a comment on the criteria and overall management guidelines of the Facility?**

**6. Are you willing to allocate a voluntary contribution to the 1035 Facility in addition to the amount allocated from the IOM Discretionary Income?**

YES

NO

If **NO**, please explain:

## **PART II: PERFORMANCE AND IMPACT ANALYSIS**

If your country benefits or has benefited from a project or projects funded by the 1035 Facility during the period 2008 to 2010 inclusive, please provide the following information and answer the questionnaire.

**If necessary, lists of approved projects for a given country can be found listed on the 1035 Facility website at the following address: <http://www.iom.int/1035/projectlist.htm> or requested from the Evaluation Office at the following e-mail address [cfranzetti@iom.int](mailto:cfranzetti@iom.int), or directly to the Manager of the 1035 Facility at the following address: [1035Facility@iom.int](mailto:1035Facility@iom.int).**

1) *Title:*

*Date of implementation:*

*Budget:*

*If regional, please list the other countries:*

2) *Title:*

*Date of implementation:*

*Budget:*

*If regional, please list the other countries:*

3) *Title:*

*Date of implementation:*

*Budget:*

*If regional, please list the other countries:*

4) *Title:*

*Date of implementation:*

*Budget:*

*If regional, please list the other countries:*

5) *Title:*

*Date of implementation:*

*Budget:*

*If regional, please list the other countries:*

**1. Based on the information received and according to your own evaluation of the projects, have they had their expected impact and are you satisfied with the overall outcome of the projects?**

	YES	NO	COMMENTS
Project 1	<input type="checkbox"/>	<input type="checkbox"/>	
Project 2	<input type="checkbox"/>	<input type="checkbox"/>	
Project 3	<input type="checkbox"/>	<input type="checkbox"/>	
Project 4	<input type="checkbox"/>	<input type="checkbox"/>	
Project 5	<input type="checkbox"/>	<input type="checkbox"/>	

**Other comments if any:**

**2. Do you think that the projects still require (would have required) an extension or follow-up project to meet the original objectives and consolidate the impact?**

**YES**

**NO**

If **YES**, why (please specify the projects if more than one):

3. In reference to the 'seed money concept', was additional funding obtained (via another donor or your country) to enable follow up activities at the completion of the 1035 Facility projects? (Is your country or a donor already committed to fund follow-up activities for on-going projects?)

YES

NO

If **NO**, specify which project(s) and which activities have not resulted in any additional funding:

4. Did you discuss/are you discussing with IOM (or/and other agencies/donors) follow-up projects or other mechanisms in order to guarantee the sustainability of the activities funded by the 1035 Facility?

YES

NO

- Were/are the discussions successful?

YES

NO

If **NOT** successful, briefly explain why:

5. Do you consider that the 1035 Facility meets its objective and has a positive global outcome?

YES

NO

If **NO**, please explain:

## Annex III

### GUIDANCE NOTE ON THE 1035 FACILITY

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### GUIDANCE NOTE 2011

#### Introduction

1. The 1035 Facility, established in 2001, has been providing support to IOM Developing Member States and Member States with Economy in Transition for the development and implementation of joint government-IOM projects to address particular areas of migration management, particularly in the field of capacity-building.

2. In response to a request by Member States for additional funding for the 1035 Facility, the funding mechanism was expanded by the IOM Council in June 2007<sup>1</sup>. This expanded 1035 Facility became available from 1 January 2008. The main purpose of this Guidance Note is to explain the characteristics of the expanded 1035 Facility as well as to provide practical guidance on the operation and management of the Facility.

#### Main characteristics of the 1035 Facility (the Facility)

3. The Facility includes two ‘lines’ of funding. The original funding criteria for the Facility will continue to be applied as they have been in past years in relation to Line 1 of the Facility. The newly established Line 2 is broadly similar in its operation to Line 1 with the exception that Member States subject to Article 4 of the IOM Constitution will not be eligible to benefit from funding under Line 2<sup>2</sup>. In addition, Line 2 will have an increased upper ceiling for funding of both national and regional projects as explained in paragraph 14.

4. In 2011, the available funds under the Facility are:

- **Line 1** - USD 1,400,000; and
- **Line 2** - USD 4,100,000<sup>3</sup>.

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<sup>1</sup> In addition to the annual budgeted USD 1,400,000 allocation, Council Resolution No. 1150 (XCIII) of 7 June 2007 approved the IOM Strategy Document which states that “25 per cent of Discretionary Income (excluding security) in excess of the 2007 Programme and Budget Discretionary Income of USD 20.5 million will be allocated to an expanded 1035 Facility starting in 2008”.

<sup>2</sup> Article 4, paragraph 1, of IOM’s Constitution states that “If a Member State fails to meet its financial obligations to the Organization for two consecutive financial years, the Council may by a two-thirds majority vote suspend the voting rights and all or part of the services to which this Member State is entitled...”. Resolution No. 1150 (XCIII) approved the IOM Strategy Document which states that “access to funding under Line 2 will be linked to outstanding contributions and Member States subject to Article 4 will not be eligible for funding.”

<sup>3</sup> The exact amount will be confirmed at the closure of 2010 accounts.

5. **Equitable allocation of the funds across regions remains a core management principle in assessing requests for funding under the Facility.**

### **Beneficiaries of the Facility**

6. The beneficiaries of the Facility continue to be IOM Developing Member States and Member States with Economy in transition. Eligibility is based on the most recent version of the list of low-income through to upper middle-income economies as designated by the World Bank. Countries that would otherwise be eligible because they are on the World Bank list will be excluded upon joining the European Union. Voluntary withdrawal from eligibility remains open to any eligible Member State.

7. Depending on the funding line, the eligibility to apply to and benefit from the Facility differs:

- **For Line 1:** all eligible Member States may apply for funding and/or benefit from funded projects.
- **For Line 2:** all eligible Member States not subject to Article 4 of the IOM Constitution may apply for funding and/or benefit from funded projects.

8. In the context of regional projects, non-IOM Member States continue to be included among the beneficiaries, as was previously the case, **only where a majority of the beneficiaries are eligible Member States.**

9. Non-IOM Members remain ineligible to apply directly for support from the Facility.

### **Types of Projects Eligible for Funding Under the Facility**

10. Priority is given to capacity-building projects in the various IOM areas of activity, including research and feasibility studies related to such activities.

11. National and regional projects are eligible for funding.

12. Projects with good prospects for future funding and projects that provide co-funding to major donor commitments or bridging funds continue to be supported.

13. The types of activities that **cannot** be funded under the Facility include the following:

- a) **Movements:** activities that are overseen by IOM's Movement Management Division, including IOM's traditional refugee and migrant transport and resettlement programmes.
- b) **Emergency:** activities that are overseen by IOM's Emergency and Post-crisis Division; for example, activities in response to the Asian tsunami and the Pakistan earthquake.
- c) **Major conferences and similar events** that are continuations of ongoing dialogues and similar, well-established activities. However, conferences and

similar events that may be useful in launching new regional processes, opening new geographic coverage or increasing programme planning and implementation between IOM and Member States are not excluded.

- d) Projects mainly supporting IOM staff and office costs, including projects proposed for the specific purpose of opening an IOM office, are excluded. IOM staff and office costs can, however, be included in the budget for project implementation following the usual IOM projectization approach.
- e) Assisted Voluntary Return projects, unless they include significant elements of government capacity-building alongside the return component.

### **Funding Levels**

14. The following maximum funding levels apply:

- Line 1: USD 100,000 for national projects and USD 100,000 for regional projects. Exceptional increases at the regional project level will continue to be considered up to USD 200,000;
- Line 2: USD 200,000 for national projects and USD 300,000 for regional projects. Funding requests beyond these limits will not be considered.

### **Project Duration**

15. The maximum project duration for Line 1 funded projects will be 12 months. The maximum project duration for Line 2 funded projects will be 24 months.

### **Application Procedure**

16. A project for consideration can be presented by the government of an eligible Member State, including by its Permanent Mission in Geneva.

17. A project may also be presented by IOM Field Missions and Offices, or by IOM Headquarters' departments.

18. All projects are referred to the participating IOM Mission(s) for coordination and support.

19. All submitted projects, including those submitted by the Permanent Mission in Geneva, **must be supported by a written endorsement and request for Facility funding by the respective capital**. In the case of regional projects, a minimum of two eligible and benefiting Member States must endorse the proposal. If regional projects benefit many Member States, the Facility management will request additional letters of support from a majority of the eligible and benefiting Member States and may require additional information on the expected outcomes and impact. This endorsement should take the form of a letter to IOM from the cooperating arm of the government, **citing the specific project and making specific reference to the Facility support**<sup>4</sup>.

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<sup>4</sup> <http://www.iom.int/1035/applications.htm>

20. **Projects must be presented in the IOM Project Document or Summary Project Outline format, with complete budgets<sup>5</sup>, wherein the total of staff and office cost should not be more than 30 percent of the total budget. Consistent with the standard IOM project development processes, projects should also receive endorsement from the relevant MRF<sup>6</sup>.** In addition, projects must be reviewed and endorsed by the relevant IOM Headquarters division or department before final consideration by the Facility management.

21. It is not necessary for an eligible Member State to create the project document for consideration. Eligible Member States can discuss with or otherwise relay their areas of interest to the nearest IOM Field Mission or Office, or with IOM Headquarters, and the relevant IOM unit will then work with the government to shape and finalize the document and the project design.

22. Project inquiries and applications are accepted in any of the three official languages of the Organization, throughout the year. **As from January 2011, the 1035 Facility Management will be implementing deadlines for the submission of regional applications.** This measure has become necessary to improve planning of the disbursement of funds with respect to both regional initiatives and national priorities.

- 1<sup>st</sup> deadline: 15 March 2011
- 2<sup>nd</sup> deadline: 30 June 2011

Any application which does not meet the above requirements will not be considered in the batch of applications and will have to wait until the requirements are fulfilled. An application which is not successful at the 1st deadline due to insufficient budget can be reconsidered for funding at later deadlines. We would also encourage you to speak with the 1035 Facility Management prior to initiating the development of a project concept, to discuss probable funding availability within your region, and not to create expectation with the government counterpart that we will not be able to fulfill.

23. The request for funding under the Facility should specify the Line under which funding is sought (Line 1 or Line 2). In the absence of specific mention of a funding line, projects will be considered under Line 1 or Line 2 by the Facility management on the basis of the level of funding requested, the proposed duration of the project, as well as the availability of the funds.

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<sup>5</sup> <http://www.iom.int/1035/templates.htm>

<sup>6</sup> Project Development Flowchart, 1 June 2006 – Once a project is approved by the COM and the MRF, the Project Developer submits the Project Document or SPROUT and budget details to the relevant HQ Dept or Division.

## **Relevant Criteria and Considerations in Processing Applications for 1035 Facility Funding**

24. In addition to the factors outlined in preceding paragraphs of this Guidance Note, the following considerations will apply when reviewing applications for funding under the Facility:

### **Line 1**

25. A follow-up project to a previously funded project under the Facility (Line 1) will not be admissible for further funding under Line 1.

### **Line 2**

26. In recognition that the demand for Line 2 funds may exceed the available funding of USD 4,100,000 in 2011:

- The Facility funding history of Member States will be taken into account.
- Demonstrated efforts by the relevant IOM Mission/and or Member State (s) in securing traditional funding support through donor outreach will be considered favourably as will any evidence of possible future donor interest and/or support.
- Consideration will be given to the level of active engagement and support by the relevant Member State(s) with the initiative/project.
- A follow-up project to a previously funded project under the Facility (Line 1) will be considered (as stated in the IOM Strategy Document approved by Resolution No. 1150 (XCIII)).

In the event that demand in a particular region outstrips the available funding, Facility management will consult with relevant Governments and IOM Field Missions and Offices with a view to consolidating and prioritizing the requests for funding primarily in accordance with the considerations in the preceding paragraphs.

## **Funding Allocations in 2011**

27. Decisions on funding under both Line 1 and Line 2 will continue to be made throughout the year, approximately on a quarterly basis for national projects, subject to the availability of funds and the established deadlines for regional project applications as explained in paragraph 22.

## **Project Tracking, Reporting and Management**

28. The Facility-funded projects are managed by the relevant IOM Field Mission or Office or, in exceptional cases, the relevant IOM Headquarters unit, in coordination with the

appropriate arm of the government of the benefiting Member State. IOM includes 1035 Facility proposals in its normal project tracking procedures.

29. Regular progress reports, including financial reports, are required through the established IOM reporting channels. The project manager is expected to ensure that any adjustment to objectives and budget are made in concert with the relevant government project counterparts and Headquarters unit. Requests for project extensions and adjustments to the budget should be submitted to the Facility for evaluation and approval.<sup>7</sup>

30. **Projects with a duration of 12 months and beyond (including extensions) require a 6 months interim narrative and financial report using the standard IOM reporting templates and a final narrative and financial report within 3 months of project completion. Projects with a duration of less than 12 months do not require an interim report unless the project is extended to cover 12 months and beyond and an interim report is deemed appropriate by the Facility management<sup>8</sup>.** The Facility will review the narrative report and once the financial report is reviewed and endorsed by ACO Reporting Services, the narrative report will be forwarded to the relevant Permanent Missions in Geneva. Financial reports require a breakdown of Operational Costs to match budget categories of the original budget. IOM Missions are expected to share project information/reports with relevant government counterparts.

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<sup>7</sup> [www.iom.int/1035/templates.htm](http://www.iom.int/1035/templates.htm)

<sup>8</sup> [www.iom.int/1035/templates.htm](http://www.iom.int/1035/templates.htm)

**List of IOM Member States eligible for allocations from the 1035 Facility (Line 1),  
by region, 31 January 2011**

(Total: 93)

<b>Africa</b> 43 Members (46%)	<b>Latin America and the Caribbean</b> 21 Members (23%)	<b>Asia</b> 16 Members (17%)
Algeria	Argentina	Afghanistan
Angola	Belize	Bangladesh
Benin	Bolivia (Plurinational State of)	Cambodia
Botswana	Brazil	India
Burkina Faso	Chile	Iran (Islamic Republic of)
Burundi	Colombia	Kazakhstan
Cameroon	Costa Rica	Kyrgyzstan
Cape Verde	Dominican Republic	Mongolia
Central African Republic	Ecuador	Nepal
Congo	El Salvador	Pakistan
Côte d'Ivoire	Guatemala	Philippines
Democratic Republic of the Congo	Haiti	Sri Lanka
Egypt	Honduras	Tajikistan
Gabon	Jamaica	Thailand
Gambia	Mexico	Timor-Leste
Ghana	Nicaragua	Viet Nam
Guinea	Panama	
Guinea-Bissau	Paraguay	
Kenya	Peru	<b>Europe</b>
Lesotho	Uruguay	11 Members (12%)
Liberia	Venezuela (Bolivarian Republic of)	
Libyan Arab Jamahiriya		Albania
Madagascar		Armenia
Mali		Azerbaijan
Mauritania		Belarus
Mauritius		Bosnia and Herzegovina
Morocco		Georgia
Namibia		Montenegro
Niger		Republic of Moldova
Nigeria		Serbia
Rwanda		Turkey
Senegal		Ukraine
Sierra Leone		
Somalia		
South Africa		<b>Middle East</b>
Sudan		2 Members (2%)
Swaziland		
Togo		Jordan
Tunisia		Yemen
Uganda		
United Republic of Tanzania		
Zambia		
Zimbabwe		

**List of IOM Member States eligible for allocations from the 1035 Facility (Line 2),  
by region, 31 January 2011\***

(Total: 66)

<b>Africa</b> 22 Members (33%)	<b>Latin America and the Caribbean</b> 16 Members (24%)	<b>Asia</b> 15 Members (23%)
Algeria	Argentina	Afghanistan
Angola	Belize	Bangladesh
Benin	Chile	Cambodia
Botswana	Colombia	India
Burkina Faso	Costa Rica	Kazakhstan
Central African Republic	Ecuador	Kyrgyzstan
Congo	El Salvador	Mongolia
Egypt	Guatemala	Nepal
Ghana	Haiti	Pakistan
Kenya	Honduras	Philippines
Lesotho	Mexico	Sri Lanka
Mali	Nicaragua	Tajikistan
Mauritius	Panama	Thailand
Morocco	Paraguay	Timor-Leste
Namibia	Uruguay	Viet Nam
Swaziland	Venezuela (Bolivarian Republic of)	
Togo		
Tunisia		
Uganda		
United Republic of Tanzania		
Zambia		
Zimbabwe		
		<b>Europe</b> 11 Members (17%)
		Albania
		Armenia
		Azerbaijan
		Belarus
		Bosnia and Herzegovina
		Georgia
		Montenegro
		Republic of Moldova
		Serbia
		Turkey
		Ukraine
		<b>Middle East</b> 2 Members (3%)
		Jordan
		Yemen

\* This list will be regularly updated to take into account the payment of outstanding contributions.

Annex IV

1035 FACILITY DATABASES – SAMPLE FORMS



IOM International Organization for Migration  
OIM Organisation internationale pour les Migrations  
OIM Organización Internacional para las Migraciones

**1035 Facility**  
**Support for Developing Member States and Member States with Economy in Transition**

Database ID Number

Project Information		Funding Source	
Year	<input type="text"/>	Budget Line	<input type="text"/>
Project Code	<input type="text"/>	1035 Allocation	<input type="text"/>
Total allocation in USD	<input type="text"/>	Sasakawa	<input type="text"/>
Mission Management Site	<input type="text"/>	PRJ-P35/Line 1	<input type="text"/>
Project Manager	<input type="text"/>	PRJ-P35/Line 2	<input type="text"/>
Project Title	<input type="text"/>	EC Co-Funding	<input type="text"/> <input type="text" value="CF Project Code"/>
Summary	<input type="text"/>	Further funding or activities	<input type="text"/>
Focal Point	<input type="text"/>	<b>Project Status and Reports</b>	
Main Category	<input type="text"/>	Status	<input type="text"/>
IOM Strategy	<input type="text"/> Service area <input type="text"/>	Project Extended	<input type="checkbox"/> YES
		Final End Date	<input type="text"/>
		Original End Date	<input type="text"/>
		Project code closed	<input type="text"/>

Start Date	<input type="text"/>	End Date	<input type="text"/>
Language	<input type="text"/>		
1035 Newsletter Article	<input type="checkbox"/> YES	Released On	<input type="text"/>
<b>Region and Benefiting States</b>			
Region	<input type="text"/>		
Region expanded	<input type="text"/>		
S-Region	<input type="text"/>		
Regional	<input type="text"/>		
All Benefiting MS	<input type="text"/>		
Other countries benefiting at allocation time	<input type="text"/>		
Middle East	<input type="text"/>		
Benefiting MS	<input type="text"/>	Other Bnf Country14	<input type="text"/>
Other Bnf Country2	<input type="text"/>	Other Bnf Country15	<input type="text"/>
Other Bnf Country3	<input type="text"/>	Other Bnf Country16	<input type="text"/>
Other Bnf Country4	<input type="text"/>	Other Bnf Country17	<input type="text"/>
Other Bnf Country5	<input type="text"/>	Other Bnf Country18	<input type="text"/>
Other Bnf Country6	<input type="text"/>	Other Bnf Country19	<input type="text"/>
Other Bnf Country7	<input type="text"/>	Other Bnf Country20	<input type="text"/>
Other Bnf Country8	<input type="text"/>	Other Bnf Country21	<input type="text"/>
Other Bnf Country9	<input type="text"/>	Other Bnf Country22	<input type="text"/>
Other Bnf Country10	<input type="text"/>	Other Bnf Country23	<input type="text"/>
Other Bnf Country11	<input type="text"/>	Other Bnf Country24	<input type="text"/>
Other Bnf Country12	<input type="text"/>	Other Bnf Country25	<input type="text"/>
Other Bnf Country13	<input type="text"/>	Other Bnf Country26	<input type="text"/>
<b>Required Reports</b>		<input checked="" type="checkbox"/> Interim Report Required (Financial and Narrative)	
		<input type="checkbox"/> Final Report (Financial and Narrative)	
<b>Submitted Reports</b>		<b>Endorsed By ACO/RAS</b>	
<input type="checkbox"/> Interim Financial and Narrative Report		<input type="checkbox"/> YES	
		Date Endorsed <input type="text"/>	
<input type="checkbox"/> Final Financial and Narrative Report		<input type="checkbox"/> YES	
		Date Endorsed <input type="text"/>	
Ending Bal to PRJ-P35/Line 1		<input type="text"/>	
Ending Bal to PRJ-P35/Line 2		<input type="text"/>	
Final Package Reports		<input type="text"/>	
Main Outcome - Impact		<input type="text"/>	
Request for 2010 Evaluation Form		<input type="checkbox"/> YES <input type="button" value="View Evaluation"/>	
Comments1		<input type="text"/>	
Comments2		<input type="text"/>	



IOM International Organization for Migration  
OIM Organisation Internationale pour les Migrations  
OIM Organización Internacional para las Migraciones

**1035 Facility – Evaluation Form on Project Outcome/Impact/Seed Funding Follow up**

Project Title

Project Code  Year

Project Category

Project Budget (USD)  Project Funding Line

Region

Management Site

Benefiting Member States

[View Project Database](#)

Outcome

Impact

Was the Seed Funding Successful? Follow up funding information

What follow up activities have occurred, projects?