



International Organization for Migration (IOM)

The UN Migration Agency

**IOM'S PRIVATE SECTOR PARTNERSHIP STRATEGY 2016–2020:
A THEMATIC EVALUATION**

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Acronyms

Acronym	Full name
CREST	Corporate Responsibility in Eliminating Slavery and Trafficking
CRM	Customer Relations Management
DDG	Deputy Director General
DG	Director General
DRD	Donor Relations Division
IOM	International Organization for Migration
IRIS	International Recruitment Integrity System
JIU	Joint Inspection Unit
MCD	Media and Communications Division
MiGOF	Migration Governance Framework
MoU	Memorandum of Understanding
OIG	Office of the Inspector General
PST	Private Sector Team
SDG	Sustainable Development Goal
UN	United Nations
UNDP	United Nations Development Programme
UNHCR	United Nations High Commission for Refugees
UNICEF	United Nations Children's Fund
WFP	World Food Programme

Executive summary

The evaluation of the Private Sector Partnership Strategy (2016–2020) aims to assess the performance and achievements of IOM in implementing Phase I of the Strategy and examines the activities implemented in an effort to enhance the Organization’s institutional foundation and strengthen its operational capacity. The Strategy is being implemented in two phases and the evaluation focuses on the implementation in 2016 and 2017 taking into account some adjustments in 2018. The evaluation was conducted through a review of documentation, and interviews with 40 individuals. Furthermore, a survey was sent to 84 IOM offices or Headquarter departments of which 28 responded. Finally, considering the focus on resource mobilisation and the contribution that IOM made to support the US-based fundraising hub, ‘USA for IOM’, a specific analysis of this entity was included in this evaluation.

Relevance

The Private Sector Partnership strategy is directly related to IOM’s mission and mandate and has been developed in line with existing United Nations (UN) guidance and principles on private sector engagement. IOM brought well-identified staff together to collaboratively develop the strategy and align it to other agencies’ approaches. Overall, IOM staff interviewed or surveyed found the Strategy to be relevant and beneficial for raising the awareness on the importance of the private sector and a framework under which to engage with the private sector.

Effectiveness

At the regional level, private sector engagement varied according to opportunity, the capacity and resources to implement it and actively seek partnerships. None of the Regional Offices had dedicated staff and according to the survey, only two Country Offices had fully funded private sector staff; the majority of offices surveyed (41 %) depended on ad-hoc engagement and 32 per cent had an identified focal point. At Headquarter level, the private sector liaison team in the Donor Relations Department (DRD) remains small with the Head also having other donor liaison functions. Overall, there are limited dedicated human resources for private sector and most of the interviewees considered it to be inadequate particularly for an Organization that is highly dependent on fundraising and voluntary contributions.

DRD implemented several activities to support offices such as guidance and tool development, providing direct funding for Country Offices to increase their own engagement and providing a significant portion of the allocated funds to USA for IOM to improve resource mobilisation. There are nonetheless key factors that need to be addressed to achieve the Strategy, such as increasing human resources, finetuning institutional processes or improving the understanding of how to engage with private sector.

Efficiency

The Strategy was largely funded by the Organization’s own limited investment. IOM received funding from two Member States for the Strategy which was used to expand the reach of private sector engagement worldwide by directly funding 12 Country Offices. There are no mechanisms to raise funding regularly through existing private sector contributors (such as using a percentage of the private sector funding to reinvest into implementing the Strategy). Comparisons with other UN agencies demonstrate the potential funding stream that could be created with consistent investment from the respective agency.

Outcome and Impact

Despite the limited investments and funding received from the private sector, there have been successful programmatic-related outcomes and results such as working with private sector on recruitment systems and labour

supply chains, which were considered very positive and raised the visibility of IOM and migration. The number of partnerships has also grown worldwide thanks to this increase in visibility and the strategic importance of some of these engagements. Furthermore, IOM has been able to build implementation partnerships with the private sector,¹ looking beyond resource mobilisation.

Sustainability

During the first two years of implementation of the strategy, the focus has been on putting in place some key structural adjustments and guidance, such as the due diligence process, the guidelines on private sector engagement and strengthening USA for IOM. These have the potential to lead to a more sustainable engagement process with the private sector. There are however other efforts such as knowledge management, which were not implemented (due mostly to lack of human and financial resources), putting sustainability efforts at risk. The lack of commitment for predictable funding is a major obstacle to both ensuring outcomes are met and that they become sustainable.

Some of the key recommendations² include:

1. **Funding the Strategy:** The Strategy requires predictable funding to be implemented and to reach the goals established within it; this may include fixed amounts per year or developing a mechanism to invest existing private sector contributions.
2. **Adjust the implementation of the Strategy based on committed and predictable funding.** If IOM is unable to commit to implementing the Strategy within the expected timeframe without the needed investments, then the Strategy and expectations from private sector should be adjusted to be realistic to what it can accomplish.
3. **Responsibility for the Strategy:** Dedicated and increased human resources are necessary to implement the Strategy and improve engagement with the private sector worldwide.
4. **Addressing institutional processes:** DRD and the relevant departments such as the Office of Legal Affairs (LEG), Department of Resource Management (DRM) (finance and procurement more specifically) should identify and address the institutional processes that may create obstacles to effective implementation of private sector engagement.
5. **Resource mobilisation:** Considerable efforts are required to facilitate the opportunities for resource mobilisation from the private sector such as identifying areas of funding, planning appeals and campaigns and facilitating donation processes.
6. **Planning and monitoring the implementation of the Strategy:** IOM should develop a Phase II plan based on what it can achieve, prioritising specific key activities and strengthening the monitoring of the implementation.
7. **USA for IOM and IOM:** IOM and staff from USA for IOM need to develop concrete actions related to improving communication, collaboration and seeing how they can both mutually benefit from each other given the similar objectives they have.

¹ Implementation partnerships are one of the key partnerships that IOM highlights within the Strategy.

² The full list of recommendations can be found in the Conclusions and Recommendations section.

1. Introduction

The private sector is widely acknowledged as a key partner in development and has long been involved in emergency preparedness and response. The magnitude of humanitarian and development financing requirements far exceed the capacity of official development aid and calls for tailored and sustainable partnerships between governments, international organizations, the private sector, and civil society. As a result, agencies are increasingly turning to the private sector as a partner to leverage and mobilize the required resources and knowledge, and to advance their strategic and operational capacity. In addition, the new development agenda for 2030 encourages multi-sectoral partnership to support the achievement of the Sustainable Development Goals (SDGs), which are reflected in the programmes of the International Organization for Migration (IOM). Finally, the importance of migration worldwide, IOM's growth in recent years, and its expertise in both the humanitarian and development spheres have made the Organization increasingly appealing as a partner to the private sector, creating new opportunities for IOM.

In 2008, the Director General (DG) made strengthening private sector partnerships an institutional priority for IOM. In line with this decision, IOM has increased its collaboration at Headquarters and in the field with private sector actors on a broad range of activities, including humanitarian assistance, health, labour migration, research and counter-trafficking.

Since 2016, the collaboration with the private sector has been informed by the the Private Sector Partnership Strategy 2016–2020, which outlines the Organization's commitment to develop strategic partnerships to enhance knowledge, expertise, skills and resources for the benefit of migrants and society.

2. Evaluation background

2.1 Objective and Scope

The thematic evaluation of the Private Sector Partnership Strategy 2016–2020 (referred to as “the Strategy”) is part of the Office of the Inspector General's (OIG) biennial evaluation plan (2017–2018) and responds to the agreement within the Strategy to ensure “that an evaluation will be carried out two years into its implementation.”³ As per the terms of reference for this evaluation, its primary objective is to “evaluate the performance and achievements of IOM in implementing Phase 1 of the Strategy, examine the activities implemented across the four areas in an effort to enhance the Organization's institutional foundation and strengthen its operational capacity” (see the full terms of reference in Annex 1).

The Strategy is being implemented in two phases.⁴ This mid-term evaluation concentrates on the activities of Phase I corresponding primarily to the work done in 2016 and 2017 noting that some implementation and changes made up until July 2018 are taken into consideration.⁵ The evaluation will focus on the relevance, effectiveness, efficiency, impact and sustainability criteria, answering questions as laid out by the terms of reference.

³ Paragraph 30 (f) of the “Council 106th Session IOM Private Sector Partnership Strategy 2016-2020” C/106/INF/16, 18 September 2015.

⁴ “Implementation of the IOM Private Sector Partnership Strategy 2016-2020”

⁵ “Implementation of the IOM Private Sector Partnership Strategy 2016-2020”

2.2 Evaluation methodology

The evaluator developed an evaluation matrix at the start of the evaluation to ensure a mutual understanding of the evaluation questions and the method in which the information would be gleaned. This matrix was shared and approved by the private sector liaison team and the Chief of the Donor Relations Division (DRD).

Data collection

In line with the terms of reference, the evaluation methodology consisted primarily of an extensive documentation review which covered:

- Official documentation on the strategy;
- Technical guidance and training materials developed for private sector partnerships;
- Research and studies undertaken by IOM to improve private sector partnerships;
- Documentation on existing partnerships implemented by offices around the world; and
- Documentation on private sector partnerships by other United Nations (UN) agencies.

The full list of documents reviewed can be found in Annex 2.

In addition, the evaluator conducted interviews with 40 individuals: 15 staff from Headquarters, 10 from Regional Offices, seven from Country Offices and eight from USA for IOM. Out of the individuals interviewed at IOM, all Department Directors at Headquarters were interviewed as were six of the Regional Directors. Furthermore, one survey was sent to 84 offices (including Headquarter departments) where private sector partnerships had been undertaken in either 2016 and/or 2017.⁶ Out of these, 28 responded – 24 countries, three Regional Offices and an office in Headquarters. The evaluator collaborated closely with the private sector liaison team under DRD to identify the right staff and offices to include in the interviews and surveys (see Annex 3 for the full list).

Finally, considering the focus on resource mobilisation and the contributions that the private sector strategy made for USA for IOM, a specific focus on USA for IOM was included in this evaluation. A field visit was conducted in April 2018 during the biannual board meeting for the non-profit. A total of nine interviews were conducted during this visit with IOM, USA for IOM and one other UN agency staff. In addition, the evaluator observed the Board Members meeting on 9 April 2018. See Figure 1 for a graphical representation of the location of interviewees and survey respondents for this evaluation.

Data analysis

A combination of qualitative and quantitative data was collected using mixed data collection tools. The qualitative data was analysed based on evaluation criteria and thematic areas through the interviews and survey forms. NVivo, a qualitative data analysis software, was used to code the responses from the participants which made it possible to further confirm the value and relevance of some of the themes.

Reporting

The evaluation report is divided by specific criterion with recommendations provided throughout the text. Key findings have been bolded in the relevant sections. The key recommendations will be summarised in the Conclusions and Recommendation section.

⁶ Based on the Private Sector Compendium for 2016 and the responses to the Institutional Questionnaire for 2017 as the Compendium for 2017 was not yet finalised.

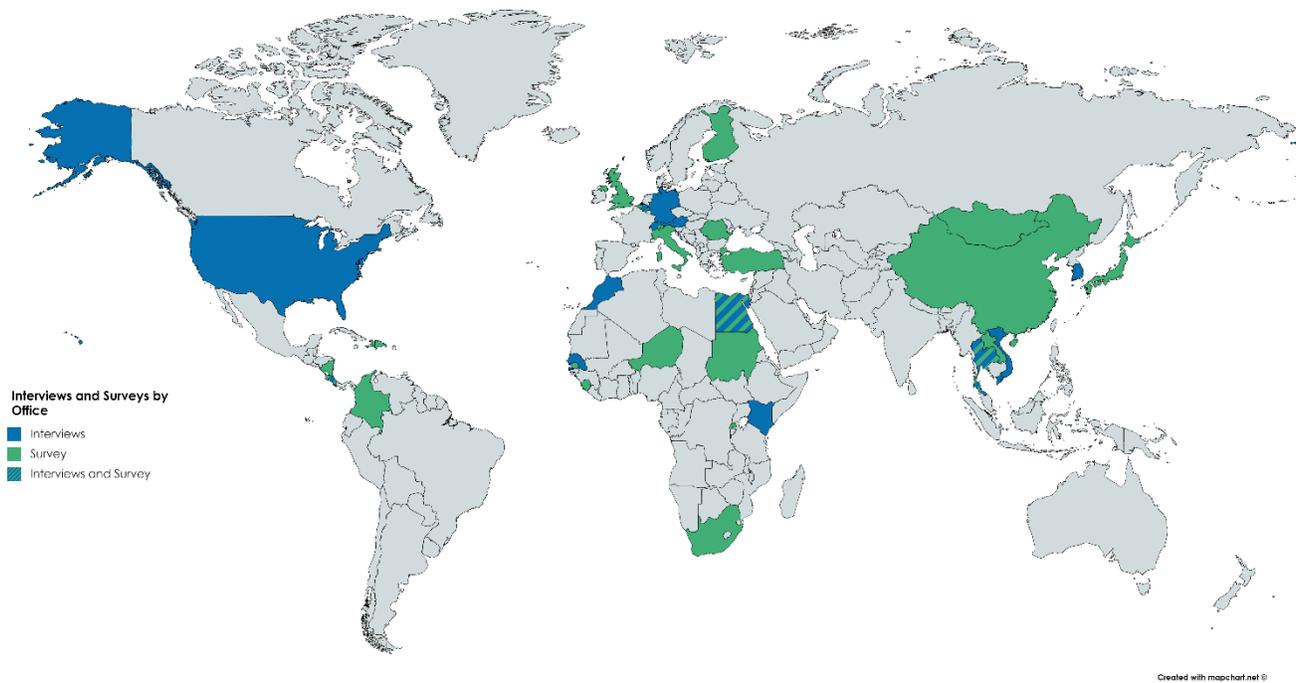


FIGURE 1: REPRESENTATION OF OFFICES SURVEYED OR INTERVIEWED DURING THE EVALUATION

Limitations

The survey was developed to focus on offices where private sector work was already being implemented hence, it does not touch upon the scope of knowledge about the private sector strategy or why some offices may not engage in private sector work. It was noted after the completion of the survey that some of the countries that had received funding directly from the private sector strategy were not included as they were not part of the initial list of countries who had engaged in private sector based on the response to the Institutional Questionnaire.⁷ Furthermore, the response rate to the survey was fairly limited (33 per cent) despite the follow-up conducted three times via email as well as some individual correspondence with specific offices. The evaluator was also not able to interview all the people suggested due to lack of response to the requests or suggestions that were received after the data collection process had been completed. The inclusion of cross-cutting themes such as gender mainstreaming or rights-based approach was not considered relevant in this evaluation and hence there is no dedicated section about them.

The evaluator intended to have interviews with private sector staff in other UN agencies, however, limited contact details were received and those who were emailed did not respond favourably to the request. Consequently, any comparison with other agencies is based solely on reports and their websites.

⁷ The Office of the Director General sends out a questionnaire twice a year to collect information about results attained by all country and Regional Offices. Burundi, Indonesia and Senegal that received funds from the Strategy, were not included in the list of countries with private sector engagement.

3. The Private Sector Partnerships Strategy

3.1 Background

IOM has increasingly appealed to the private sector as a partner, creating new opportunities for the Organization and raising the importance of migration worldwide. At Headquarters and in the field, IOM offices have been engaged with private sector actors on a broad range of issues and have received technological, financial and human resources from private sector partners in both humanitarian and development contexts. Prior to the development of the Private Sector Partnership Strategy, IOM had in the past attempted to formalise its private sector engagement; a business advisory board had been created in the early 2000s, and in 2008, a private sector focal point had been engaged. These efforts had varying levels of success and met challenges along the way.

Based on the interest and influence of Member States who considered it important that IOM have a more formalised and systematic stance towards the private sector, and belief that the private sector had potential resources that could help the Organization grow, a feasibility study was conducted in 2012 to determine “whether IOM could secure funding from alternative private sector sources and whether those alternative sources could include support for IOM’s core costs.”⁸ The study also compared the trajectories of the United Nations High Commission for Refugees (UNHCR) and the World Food Programme (WFP). Overall the study concluded that there were opportunities to tap into within the private sector that would require a long-term approach, a minimum of five years, and consistent resources and commitment. The study also concluded that “the opportunity is mainly to raise supplementary income to IOM as foundations, companies and high net worth individuals are mainly interested in specific projects, innovation projects and rarely fund core costs to any significant level.”⁹ The study provided a list of prospective foundations, companies, and high-net worth individuals and estimated that IOM could raise between USD 20 million and USD 25 million¹⁰ per annum, stipulating this would require an annual investment of USD 1.9 million. IOM and the Member states concluded that the private sector could not be used to contribute to the core structure of the Organization but that it did have a potential to enhance the “visibility of the Organization and migration issues.” Subsequently, private-sector fundraising would be included in the agenda for the Working Group on Budget Reform.¹¹

As a result of this report and its conclusions, a private sector partnerships strategy was developed. This Strategy was subsequently presented to the Member States during the autumn council in 2015¹² and agreed upon as the IOM Private Sector Partnership Strategy 2016–2020.

3.2 An overview of the Strategy

Chaired by the DDG, with the Chief of Donor Relations Division and the Senior Partnerships Officer in DRD as secretariat, a group of seven additional staff was brought together to develop the Strategy for the Organization. Through a documented process, this Private Sector Team (PST) was able to write up the Strategy, identify areas of concern or priority to shape the direction of the Organization in terms of private sector partnerships.

The Strategy provides a background to the process and outlines its overarching goal: “to establish long-term partnerships with companies, foundations, associations, individuals that leverage each partner’s knowledge,

⁸ Weight, Della. “Report Private sector fundraising feasibility study” think consulting solutions, October 2012

⁹ Ibid.

¹⁰ This represented 2.8% - 3.5% of the 2011 IOM annual budget of USD 700 million.

¹¹ IOM Council 103rd session “Funding for the Core Structure: Budget-Strengthening Model- Proposal and Draft Resolution” 17 October 2013. MC/2389, pg. 8 - 9.

¹² Council 106th Session reference C/106/INF/16

expertise, skills and/or resources in areas of common interest for the benefit of migrants and society.”¹³ The Strategy has four main objectives:

- Amplify key migration messages through advocacy and awareness raising;
- Develop solutions, approaches, and new technologies to enhance IOM’s operational and strategic capacity and better assist migrants and societies;
- Mobilize financial and in-kind resources to support IOM activities and those it assists; and,
- Promote joint efforts to address migration-related opportunities and challenges that require engaging with the private sector.

The Strategy further outlines its main principles which are: common purpose, integrity, accountability, and transparency and defines its key target groups under the strategy:

1. Companies and/or their business networks/platforms/cooperatives;
2. Foundations, associations and organized networks of individuals;
3. High-net-worth individuals; and
4. General public.

The Strategy identifies the four types of partnerships that IOM considers relevant with private sector.

- a) **Advocacy, awareness-raising and knowledge-building partnerships** seek to draw attention to specific issues to promote new perspectives on migration, encourage migrant-sensitive policy and programme change, and build public awareness or support
- b) **Innovation partnerships** use the expertise of the private sector to develop or share new products, technologies, services and approaches that enhance IOM’s operational and strategic capacity, and that directly or indirectly support migrants and societies.
- c) **Resource mobilization partnerships** seek to generate funds, human resources, goods and services to support IOM activities, including through joint resource mobilization events, web platforms and social network mobilization. Under this partnership, IOM aims to attain five per cent of its budget from private sector actors.
- d) **Implementation partnerships** deliver programmes at the local, national, regional or global levels that require participation from private sector stakeholders. These partnerships may resemble a client/service-provider relationship, take the form of a public–private partnership or involve multiple companies, governments, international organizations, civil society and other stakeholders.

The implementation of the Strategy is led by the DDG who actively supports the outreach and partnership-building at the executive level. Chiefs of Mission are responsible for helping the implementation, supported by the Regional Offices and Headquarters.¹⁴ In practice, the Senior Partnerships Officer¹⁵ within DRD supported by a Global Partnerships Officer oversees the day-to-day implementation of the Strategy.

Based on this Strategy, IOM put together an implementation plan for Phase I (2016–2017) and fundraised to implement the Strategy and increase partnerships with private sector. The implementation will be further elaborated in the findings of the evaluation.

¹³ Paragraph 13 of the “Council 106th Session IOM Private Sector Partnership Strategy 2016-2020” C/106/INF/16, 18 September 2015.

¹⁴ Paragraph 30 (a) of the Strategy

¹⁵ This position also includes overseeing traditional donor liaison as well as private sector partnerships.

4. Evaluation findings according to each criterion

4.1 Relevance

This next section assesses the overall relevance of the development and use of Strategy in ensuring that it is in line with IOM's mandate and policies as well as with UN guidance on private sector engagement. Furthermore, it explores whether specific policies and strategies facilitate a relevant use of the Strategy and will also analyse the relevance of the outcomes and indicators identified to the Strategy.

The Private Sector Partnership Strategy is directly related to IOM's mission and mandate which works with its partners, defined as “governmental, intergovernmental and non-governmental partners” to “ensure the orderly and humane management of migration, to promote international cooperation on migration issues, to assist in the search for practical solutions to migration problems and to provide humanitarian assistance to migrants in need, including refugees and internally displaced people.”¹⁶ The Strategy's overarching goal aims to establish long-term partnerships with private sector in areas of common interest for the benefit of migrants and society.

The Strategy provides a roadmap for developing partnerships with the private sector to strengthen IOM's efforts to reach its mission. According to eleven interviewees who responded to this question, no discrepancies or contradictions were identified with IOM's private sector strategy and IOM's other institutional policies and documents. However, discrepancies related to the *implementation* of the Strategy were noted; this will be further elaborated under Effectiveness (see section Institutionalising the Strategy 4.2.1 below)

IOM's Strategy is directly linked to the existing guidance from the United Nations (UN) in the development of partnerships with the private sector. Besides mentioning the key UN documentation that has informed the Strategy (paragraph 17): Guidelines on Cooperation between the UN and the Business Sector, the Ten Principles of the Global Compact, and the UN Guiding Principles on Business and Human Rights, it is evident that IOM espoused some of the key areas of importance addressed in this documentation. For instance, the Guidelines on Cooperation between the UN and the Business Sector highlight that the UN should not partner with entities that “systematically fail to demonstrate commitment to meeting the principles of the UN Global Compact. However, the UN may consider collaboration specifically intended to address this failure of commitment.”¹⁷ IOM's due diligence decisions on certain entities directly link to this approach where IOM has agreed to work with companies to address shortcomings they may have (in their labour supply chains for instance). Furthermore, IOM's approach to the four partnerships is similar to the ones described in the Guidelines on Cooperation between the UN and the Business Sector with some variation. The table below explains the various terminologies used.

Guidelines on Cooperation between the UN and the Business Sector	IOM Private Sector Partnership Strategy
Core business operations and value chains: This category involves mobilizing the innovative technologies, processes, financing mechanisms, products, services and skills of the Business Sector to create wealth and employment and develop and deliver affordable goods and services.	Innovation partnerships
	Implementation partnerships
Social investments and philanthropy: This category involves different types of resource-mobilization support and utilizes a range of resources from the	Resource mobilization partnerships

¹⁶ <https://www.iom.int/about-iom> Accessed on 16 August 2018.

¹⁷ Guidelines on Cooperation between the United Nations and the Business Sector; accessed: http://www.un.org/ar/business/pdf/Guidelines_on_UN_Business_Cooperation.pdf

Business Sector including cash as well as core competencies.	
Advocacy and policy dialogue: This modality relates to initiatives that promote and advance a specific cause in support of the UN goals or promoting multi-stakeholder dialogue on issues related to the purposes and activities of the UN.	Advocacy, awareness-raising and knowledge-building partnerships

The Strategy also espouses the similar principles as found in the UN Guidelines¹⁸ related to: a) common purpose, b) integrity, which includes advancement of (IOM) goals, due diligence, no unfair advantage and independence and neutrality, c) accountability and d) transparency.

The Strategy was designed in a collaborative approach with well-identified IOM staff who had either previous engagements, interactions or experiences with the private sector or a vested interest in the process. All PST members understood why they had been selected to participate and felt that they had either specific expertise or the ability to take the private sector engagement forward within the Organization. As one respondent said, “(the team) represented all sorts of horizons of the Organization.”

Furthermore, respondents were asked what they thought the Strategy brought to IOM. Seven interviewees (of the 23 interviews where this was raised) emphasised that they did not think that the Strategy offered anything new since private sector partnerships have been on-going before the Strategy was developed. Nevertheless, far more staff, 16, thought that the Strategy was beneficial. **The two most frequent reasons given were that it raised awareness of the private sector engagement both internally as well as externally and that it provides a framework on how to proceed with private sector engagement.** As mentioned by one interviewee, “(the Strategy) institutionalised what had not been there before, we had private sector engagement but no institutional approach.” Another staff reported: “(it) gives us coherence and credibility.”¹⁹ Another stipulated reason is that it provides concrete actions as to what is needed to strengthen engagement with private sector.

Whilst four main outcomes (related to each partnership type) and indicators are clearly outlined in the Strategy, it was not evident how these are being measured and monitored by the implementation team. Based on existing documentation,²⁰ there were efforts made to streamline indicators related to private sector that are found in the Migration Governance Framework (MiGOF), the DRD Resource Mobilisation Strategy²¹, and the Private Sector Strategy yet there are still slight variations that would make potential monitoring and measuring difficult. One drawback of the approach taken in the Strategy to track indicators is that it is focused on the partnership outcomes instead of aiming to measure the actual objectives of the Strategy which therefore remain unmeasured. The indicators should measure the change intended by the Strategy and not just the outputs or activities undertaken through the Strategy; these may need to be strengthened or new indicators developed to monitor implementation. The private sector team did put out an annual report covering its efforts in 2016 which highlight: the key activities undertaken by partnership type, its institutional readiness, and the efforts to meet with business leaders during that year; the document does not report on the indicators per partnership.

¹⁸ Page 4 of the Guidelines on Cooperation between the UN and the Business Sector, accessed here: http://www.un.org/ar/business/pdf/Guidelines_on_UN_Business_Cooperation.pdf

¹⁹ Transcribed quotes from interviews.

²⁰ “Comparison of Private Sector Results Matrix” document.

²¹ This is still in draft form.

4.2 Effectiveness

This section will assess how effective the Strategy has been institutionalised within IOM at all levels of the Organization. Furthermore, the section will look at the implementation of Phase I of the Strategy, the support and tools available to staff. A section will look at the key factors necessary to lead to the effective implementation of the Strategy and finally the types of partnerships will be elaborated on with a focus on resource mobilisation.

4.2.1 Institutionalising the Strategy

The Strategy required the support and engagement of Country Offices with the support of Headquarters and Regional Offices to be properly implemented throughout the Organization. For this to be done, it was important to identify to what extent the Strategy was used by interviewees and promoted around the world, internally within IOM and externally to stakeholders.

Out of the 35²² interviewees, 14 discussed the use and institutionalisation of the Strategy. Eight of these respondents (three from field offices, three from Regional Offices and two from Headquarters) responded that they were not using the strategy. The main reason for this is that respondents considered it a document that provides an overview but does not provide any new information about engagement.

Nonetheless some interviewees did state that they use the Strategy as guidance or a framework for engagement. The Strategy had also been used to develop a proposal to seek funding for private sector engagement and was shared externally (to potential private sector partners) to explain IOM’s approach. Within the survey conducted, 19 respondents (out of 28) say that they use the survey; examples included for internal planning or stakeholder liaison with private sector. Six offices do not use it at all and one Country Office was not aware of its existence.

The institutionalising of private sector engagement at the regional level varied. Within the Regional Offices, some were far more likely and had been more successful in identifying private sector partners than others. Out of the eight Regional Office strategies,²³ all mention, to varying degrees the private sector. The table below with detailed information about the extent of private sector engagement was mentioned in current regional strategies. Only two of the strategies had a funding strategy attached to their main regional strategy where private sector engagement was specifically mentioned.

Regional Strategy	Inclusion of private sector engagement
IOM Middle East and North Africa Regional Strategy 2017–2020	<ul style="list-style-type: none"> - Specific objective related to private sector - The aim is to: <ul style="list-style-type: none"> o Seek funding o Identify partnerships related to all 4 types (as per the Strategy)
IOM Regional Strategy East and Horn of Africa 2016–2019	<ul style="list-style-type: none"> - Seeks to increase its partner base - Explores specific partnerships related to return
IOM in the EU Member States, Norway and Switzerland Regional Strategy 2014–2020	<ul style="list-style-type: none"> - References the International Recruitment Integrity System (IRIS)²⁴ project
Regional Strategy for West and Central Africa 2017–2019	<ul style="list-style-type: none"> - References the Principle 3²⁵ of the MiGOF specifically highlighting private sector partners
IOM in Asia and the Pacific 2017–2020	<ul style="list-style-type: none"> - Seeks to increase private sector stakeholders - Includes private sector to harness benefits for migrants

²² The five board members from USA for IOM were not asked questions related to institutionalising the Strategy.

²³ Accessed on the Results-based management Collaboration Space. The Regional Strategy for Southern Africa was not available.

²⁴ International Recruitment Integrity System which IOM is implementing.

²⁵ Principle 3 states “Engages with partners to address migration and related issues.”

	- References the IRIS
South-Eastern Europe, Eastern Europe and Central Asia Strategy 2015–2020	- Specific areas of work for private sector engagement (public perception of migrants, facilitating labour migration, technical support, migration and development etc.) - Includes a fundraising strategy that has specific elements related to <i>“Developing relations with non-traditional donors, such as the private sector and foundations, is one of the key priorities.”</i>
South America: Oficina Regional Para América del Sur Estrategia Regional 2017–2020	- References specific areas of work for including private sector: perception of migrants and rights of migrants
IOM Internal Regional Strategy for Central and North America and the Caribbean 2017-2019	- Specific objective related to private sector: potential private sector interest in migration-related issues, including the improvement of integrity of international recruitment - References establishing partnerships - Highlights challenges related to attracting private sector as funding source - Includes private sector in the fundraising strategy

Despite efforts to include private sector engagement at the regional level, Regional Directors interviewed (six) reported that efforts are very dependent on the capacity and decisions of Chiefs of Mission. Where opportunities appeared to be more available or where traditional donors were scarce, Country Offices would look at these other options. In some regions, options were simply limited. **Although there are efforts to institutionalise the strategy, the ability to implement it and ensure private sector engagement was determined both by the interest and efforts of the staff in Country Offices and the context in which they work.**

4.2.2 Implementing the Strategy

As part of the preparation for putting in place the Strategy, DRD also developed a phased approach to implementation and a request for funding.²⁶ In 2016–2017, the strategy’s main activities included:

- 1) Developing a communication strategy to strengthen branding and visibility in key thematic areas;
- 2) Developing guidelines and tools to operationalise the Strategy and ensure engagement; and
- 3) Conducting training and roll-out to strengthen resource mobilisation at field level.

Although the Strategy was only funded 18.4 per cent in 2016, no updated plan was developed that would reflect the actual funding received and what could realistically be completed. Nonetheless, below are the key areas of intervention undertaken during this two-year period,²⁷ coupled with an analysis to determine the effectiveness of each intervention.

Knowledge management

Area of work	Status
Customer Relations Management (CRM) platform	<ul style="list-style-type: none"> • For Phase I, IOM budgeted to develop a CRM platform that would allow all staff to have access to information about private sector partners and the status of the support.²⁸ Through the support of IT procurement, DRD identified a company that would assist in developing the platform; yet, decided, after negotiations with the company, not to proceed with signing the agreement. According to DRD, this was because the platform would have used up roughly 60 per cent of the budget received in 2016 making it difficult to complete any of the other activities.

²⁶ “Implementation of the IOM Private Sector Partnership Strategy 2016-2020”

²⁷ Some references in 2018 are also included.

²⁸ Private Sector Partnership budget for 2017.

- The private sector team in DRD manages a compendium of all private sector partnerships worldwide based on information collected in the institutional questionnaire used to update the IOM global annual report.²⁹

A common theme expressed across interviews and the survey responses was the need to improve knowledge sharing and information. Respondents repeatedly asked for more information, more examples and practical scenarios to support their process of private sector engagement. A CRM platform would be one mechanism in which this could be addressed as it would provide colleagues (and potential partnerships) with regular information on the existing partnerships and opportunities. The compendium can only partially substitute the platform as it is not real time and is compiled at the end of each year and shared once cleaned.³⁰

There have been some complaints from the private sector of having been contacted by various IOM offices worldwide on similar topics. One company contacted DRD and asked if this could be managed. The effect of this situation is that there has been some reticence by IOM offices to share information more widely about large partnerships with global corporations to avoid other offices going out to pitch to the same company in another country. Furthermore, the lack of a formalised knowledge sharing structure also discourages staff in Country Offices from sharing private sector contacts as they are unsure of the skills and capacity to manage or scale relationships. In turn, this limits opportunity for others and does not encourage knowledge sharing. A coordinated approach to engaging with private sector should be established that promotes sharing opportunities and avoids unnecessary competition between IOM offices; the CRM platform could facilitate this.

Due diligence process

Area of Work	Status
Due diligence process	<ul style="list-style-type: none"> • IOM developed a due diligence process to assess private sector partnership risks in the view of ensuring the integrity of the Organization.³¹ • DRD is fully integrated in the due diligence process as the entity that compares information about the company being assessed with existing platforms that IOM pays for. • To date, 63 companies have been screened.³²

The development of the due diligence process took a significant amount of time from the DRD private sector team and was launched in March 2016. DRD engaged with the due diligence working group of the UN³³ and developed the right process for IOM based on IOM’s risk management policy IN/213 in order to mitigate risks as IOM enters into partnerships with private sector. Currently, the process is undertaken for partnerships and not

²⁹ The institutional questionnaire, managed by the Office of the Director General, compiles information that comes from all Offices worldwide to inform IOM’s organizational effectiveness and results.

³⁰ The 2017 compendium was shared with all staff on 12 July 2018.

³¹ Due diligence process is accessible on the Intranet:

<https://intranetportal/Pages/ControlNo.aspx?controlNo=BI/DRD/000204>

³² DDG talking points for the Standing Committee on Finance and Programmes, 22nd Session, June 2018. This includes figures for 2018.

³³ The Due Diligence Working Group discuss policies and practices. Whilst they do not discuss individual companies, they provide suggestions on how to address potential situations faced.

collaborations³⁴ which means that one-off engagements, except for donations, will not be subject to the due diligence process.³⁵

Overall, interviewees were positive and supportive of the process as it minimised risks and protected staff/offices prior to entering into partnerships with unknown or new stakeholders. One staff highlighted that it strengthens the engagement by ensuring that the decision has been well-informed and empowers the office or staff continuing the process in the partnership. Due diligence process also ensures that some discussion informs the partnership. For low risk situations, the Chief of Mission can decide, decisions of medium risk are taken by the respective Regional Director, high risk ones are brought to the attention of the due diligence committee which consists of the DDG, the Head of the Office of Legal Affairs (LEG), the Directors of the Department of Resource Management (DRM), and International Cooperation and Partnerships (ICP), and then other concerned department directors as required in addition to the relevant Regional Director. All very high-risk ratings are sent to the DG upon recommendation of the due diligence committee. As one staff says, the due diligence process “doesn’t mean finding ways to say no but to mitigate (the risks).”

There have been examples of partnerships that were not permitted to proceed as the level of risk was considered too high for the Organization.³⁶ Likewise there are examples where partnerships were favourably voted on, yet the practical implementation of partnerships could not be realised due to strong reservations from some members of the due diligence committee or other staff. It is not clear if decisions are merely recommendations and or meant to be mandatory. It may be helpful to clarify the extent of the decision-making power of the committee and ensure that all details are examined to avoid having to interrupt the process during the implementation.

There are gaps in the process and lack of clarity as to the scope of the due diligence process. Due to IOM’s decentralised nature, there is no mechanism in place that would ensure that DRD be fully aware of all partnerships *before* they commence. Indicative of this, in the institutional questionnaire, out of the 43 partnerships (as claimed by the Country Offices), 38 answers were blank or “no” when asked if due diligence had taken place for these partnerships.³⁷ Key informants also gave examples where partnerships were in place (after the March 2016 start of the due diligence process) without having done due diligence.³⁸ The Country Offices were reportedly not aware that they had to complete the process. Although the Office of the Director General did share information about the due diligence process and a flow chart is available on the intranet, more detailed guidance on the process is not shared with Country Offices. Likewise, the final decisions made are not shared more widely within IOM primarily as the CRM platform is not available so currently there is no mechanism for making this information more widely

³⁴ As per the Institutional Questionnaire, **partnerships**: *a longer-term relationship typically based on an agreement in which both parties agree to invest and work together to achieve a common purpose or undertake specific tasks and, as mutually agreed, share risks and responsibilities, resources and benefits.* **Collaboration**: *A collaboration is typically a one-off engagement with a private sector actor, for instance, participation in a workshop/event, or a one-time philanthropic contribution*

³⁵ At the time of writing the report, a due diligence policy was being drafted and is not included in this analysis.

³⁶ IOM, similar to other UN agencies, has defined the areas that are considered “no-go’s” such as arms manufacturers or arms dealers depending on the percentage of sales coming from the sale of arms. In one instance, as it was not possible to determine the percentages of sales coming from the sale of arms, the partnerships could proceed. A threshold exists of 5-10 per cent; anything above that would not be considered permissible.

³⁷ This is from the data from the institutional questionnaire prior to the full cleaning done by PSL for the compendium however gives an indication of the level of answers related to due diligence.

³⁸ These examples were related to matching workers to companies where due diligence had not taken place.

accessible. Without the standard operating procedures being more accessible, it was considered not surprising by the key informant.³⁹

The due diligence process seems to be geared towards larger companies and corporations and does not suit itself to start-up companies⁴⁰ or small, family-run businesses. This is reportedly also a challenge faced by other UN agencies in the due diligence process.⁴¹ Another issue raised by interviewees is how to know whether a due diligence process should start or not. For example, when should the due diligence be done if an office is planning to engage a start-up company where limited information may exist however there could be a chance that the founders were involved in previous companies in the past; how can that risk be assessed? Another key informant questioned whether the process should be done for potential partnerships with celebrities or ambassadors prior to engaging in these types of partnerships. As USA for IOM is considering an ambassadorship programme, this question will become more relevant. These questions raise important considerations and as IOM encourages more partnerships with private sector, it should be prepared to tackle these.⁴²

Technical support and Guidance

Area of Work	Status
Private Sector Guidelines	<ul style="list-style-type: none"> Guidelines have been developed⁴³ though they are not accessible on the Intranet page for private sector liaison.
Webinars on private sector	<ul style="list-style-type: none"> In November 2017, DRD organised its first webinar⁴⁴ on private sector engagement. A total of 80 IOM staff confirmed that they would attend one of the webinar sessions yet a total of 108 joined. A post-workshop survey was not conducted to determine how the webinar was received by participants. A second webinar was not yet organised as the facilitator was waiting for access and training to use a webinar software package available from the Staff Development and Learning unit.⁴⁵
Training to new Chiefs of Mission⁴⁶	<ul style="list-style-type: none"> DRD provides a presentation during all Chief of Mission training courses organised at Headquarters for new Chiefs of Mission.
Communication Strategy and products	<ul style="list-style-type: none"> A communication strategy has not been developed. Business cases have been drafted for counter-trafficking, diversity and inclusion, migration, environment and climate change and ethical recruitment; to-date, these have not been finalised or shared. A photobook⁴⁷ on existing partnerships and a video⁴⁸ has been produced.

In the survey, respondents were asked to comment on whether they requested support from their respective Regional Offices or DRD and specifically for what type of support. As per Figure 2 below, offices were more likely to request assistance from DRD either for reference materials, funding or training or technical support (though, for the latter, the Regional Offices were the first point of contact for a slight majority) than the Regional Offices. Other

³⁹ At the time of writing the report, a due diligence policy was being drafted and is not included in this analysis.

⁴⁰ The process includes, amongst others, their visibility in the news which would be less relevant in the case of new companies or smaller businesses.

⁴¹ The example provided to the evaluator was still in the selection process, so it was not possible to determine if they would be excluded for this reason or not.

⁴² Currently DRD is putting together guidelines for engaging with goodwill ambassadors; this could be addressed here.

⁴³ Document is entitled "IOM Private Sector Partnership Highlights"

⁴⁴ Available on the intranet: <https://intranetportal/Pages/ControlNo.aspx?controlNo=PR/DRD/00003>

⁴⁵ This was received at the time of the evaluation, and the second webinar took place in May 2018 but was not part of the evaluation analysis.

⁴⁶ As none of the interviewees had participated in the Chief of Mission training, the evaluation is not able to conclude on the reach and effectiveness of the Chief of Mission presentation.

⁴⁷ Available on the intranet: https://publications.iom.int/fr/system/files/pdf/ps_photobook.pdf

⁴⁸ Available on the intranet: https://www.youtube.com/watch?v=SWHexX_91K8

types of support included the project endorsement process, identifying likely corporate partners and other opportunities.

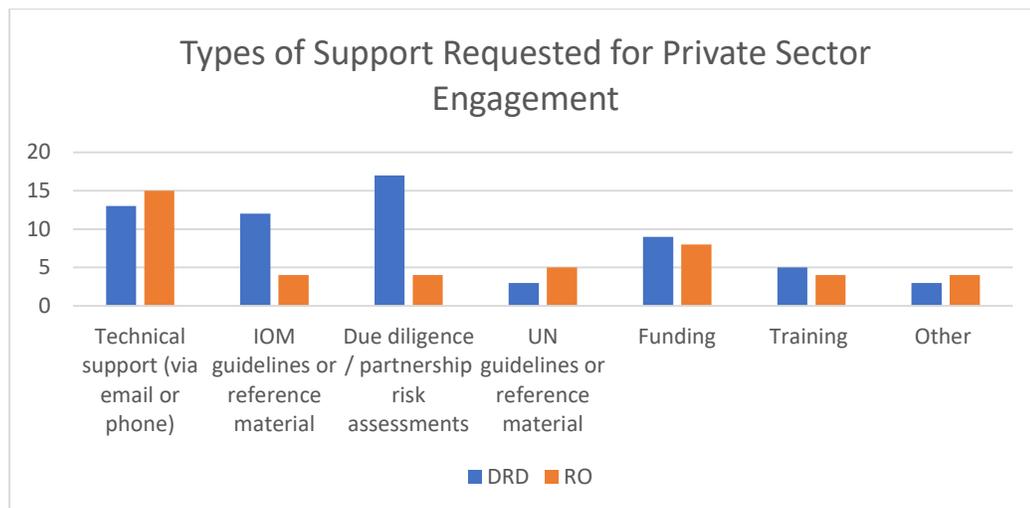


FIGURE 2: TYPE OF SUPPORT SURVEY RESPONDENTS REQUESTED FROM DRD AND RO

As a result of the Strategy, there appears to be a growing interest in private sector partnership development as reported by DRD. The team spends a lot of time providing technical support and guidance to individual IOM office requests either by sending existing tools that could help a Country Office or together with the office, mapping their current programming activities and identifying where private sector engagement may be best placed. With the compendium, the DRD private sector liaison team can also assist in finding similar projects elsewhere and putting staff together. Whilst the individual support is invaluable, this may take a significant amount of time for a very short-staffed private sector team therefore reinforcing the need for offices to have a more direct way of getting the information needed. As per the survey results, given that Regional Offices are also contacted for support, having a trained focal point in the Regional Offices may be beneficial.

In the interviews with key informants, the guidelines developed for private sector engagement were not mentioned as a source of information and support. When sending out the survey, it is noteworthy that two individuals who responded asked which guidelines the evaluation was referring to. One of these responders was the primary focal point on private sector for their respective office and was not aware that these guidelines existed. Nonetheless, when asked in the survey whether the guidelines were used, the majority, 21 respondents (75 per cent, out of 28) stated they had used the guidelines and all but one felt that they had benefited from them. No qualitative information was provided by respondents to explain how they may have benefited from the guidelines.

Every interviewee was asked if he or she had participated in the webinar and out of the key informants, only three had. Subsequently, they were asked how the webinar had been used in their work, one did not recollect how the webinar had changed their work. In one case, the key informant had participated in the webinar at a very opportune time as they were about to engage in private sector work and received a wealth of information about the due diligence process and examples from other countries that were very useful for their project. Within the survey, only four respondents (14 per cent) mentioned that they had participated in the webinar and found it beneficial.

Nonetheless, there continues to be a thirst for more training and more knowledge sharing. Thirteen survey respondents and eight interviewees mention this respectively in a non-prompted question. One key informant highlighted during the interview that they simply would not know how to proceed, who to ask and how to reach

out to private sector with any idea they may have; the lack of knowledge and capacity was frustrating and debilitating.

This need is further emphasised given that partnerships seem to grow best from the bottom up. Whilst DRD has built or supported IOM offices and Headquarters in building direct relationships with potential partners worldwide, it may not always be most productive from a Headquarters stand-point both for IOM or the cooperation. Often companies may prefer to build relationships directly with the Country Office that they would engage with, “on the ground” to understand the potential project or partnership. For this to happen in a systematic, professional and consistent manner, IOM staff need the training and guidance from professional and experienced staff to do this. Fortunately, there are also good examples of and lessons learnt from staff that can be captured and shared.

As mentioned above, the communication strategy had not been developed at the time of the evaluation. Some initial attempts were made to develop a strategy with a communication consultant though these efforts were not sufficient to move on and there were also questions as to whether such a strategy was relevant if there was not a global communication strategy in place at IOM in the first place. The team had developed business cases that are meant to support staff who want to engage the private sector on specific topics. The drafts exist for a) counter-trafficking, b) diversity and inclusion, c) migration, environment and climate change and d) ethical recruitment yet these were not complete and had not been shared with staff at the time of the evaluation. Regarding the language used for private sector, these businesses cases are written with IOM jargon and may require further review or repackaging of the information to ensure that IOM staff are giving the right approach and pitch for the private sector audience (see also section 4.2.3 and specifically communication with private sector stakeholders).

Support to other offices

Area of Work	Status
Grant support to IOM offices	<ul style="list-style-type: none"> Using the funding received by the Governments of Belgium and the Republic of Korea, DRD was able to provide small grants to IOM offices worldwide that would be interested in spearheading interventions with private sector. A total of 12 grants were provided to 12 different Country Offices.
Support to USA for IOM	<ul style="list-style-type: none"> Through the strategy, DRD provided funding to USA for IOM⁴⁹ to improve their fundraising efforts. The money was used implement and build a fundraising and communication plan based on an assessment undertaken by a consulting firm to improve the non-profit.

Small country grants

DRD, under the leadership of the DDG, decided to use some of the funding received from Member States, Belgium and the Republic of Korea, to support the field where colleagues could benefit the most from the private sector engagement in specific and concrete projects. The lack of resources for outreach and engagement at the local level was a considerable constraint that they hoped to address. Through a call for proposal in June 2017, DRD received 29 proposals across 23 country, Regional Offices and Headquarters that amounted to USD 675,658 and subsequently was able to fund 12 projects for USD 240,000.⁵⁰

Country	Type of project
<i>Funding from the Republic of Korea</i>	
Chile	Labour migration round table and forum

⁴⁹ Formerly known as USAIM; the name changed in January 2018 as per Staff Advisory email sent 15 January 2018 by the DDG to all staff.

⁵⁰ Korea related funding source: Interim report to the Government of the Republic of Korea and Belgium funding source: table provided by DRD in email dated 3 July 2018.

Turkey	ITC training for displaced persons
Republic of Korea	Public awareness about forced migration in Afghanistan, South Sudan and Yemen
Viet Nam	Combatting forced labour and human trafficking in labour migration ⁵¹
Indonesia	Combatting forced labour and human trafficking in labour migration ⁵²
Myanmar	Combatting forced labour and human trafficking in labour migration ⁵³
<i>Funding from the Government of Belgium</i>	
Burundi	Labour integration for returnees and vulnerable populations in the agricultural sector
Senegal	Reintegration of returnees in the agricultural sector
Morocco	Engaging private sector to better integrate migrants
Mozambique	Improving the health of miners
Tanzania	Improving the health of miners
Rwanda	Supporting entrepreneurship and community development

Based on the interviews conducted with recipients or related offices about the support, staff were positive about the technical support provided by DRD in the development and implementation of the projects. Seven of the 12 countries had not engaged with the private sector in 2016, thus, this funding allowed them to engage for the first time in 2017,⁵⁴ these are: Chile, Burundi, Indonesia, Morocco, Mozambique, Senegal and Tanzania. These contributions have the potential to engender further support for private sector engagement. In Morocco for instance, this marked the first of its private sector projects, the Country Office then secured funding from the IOM Development Fund for a project on ethical recruitment. Furthermore, the office is also working on another private sector project with the Italian Ministry of Foreign Affairs and Italian companies based in Morocco to place trainees in the businesses.

Respondents in the survey mentioned that the lack of funding for miscellaneous costs such as conference participation were at times limiting factors towards engagement with private sector. DRD has been able to support Country Offices with small funds to enhance private sector partnerships, for instance it has funded the participation of IOM staff in relevant conferences. Furthermore, during emergencies, IOM offices may receive in-kind donations from companies yet if the company is not willing to pay the shipping cost, they may not be able to accept the donation. DRD has been able to step in and support Country Offices with these ad hoc requests.

USA for IOM

A significant portion of funding for the Strategy in 2017 was provided to USAIM, prior to the name change to USA for IOM, to help strengthen fundraising efforts of the non-profit organization based in Washington DC at the IOM offices.

With this support USA for IOM contracted a consulting firm to develop a fundraising and communications plan (June 2017) that would then be implemented by the same firm. The consulting firm did not stay on, so the USA for IOM team⁵⁵ is implementing the proposed plan. The plan spells out a few critical dependencies needed for the organisation to be successful; the table below provides a status of each, as of the time of the evaluation.

⁵¹ This is related to the Corporate Responsibility in Eliminating Slavery and Trafficking (CREST) programme that was first implemented in Viet Nam

⁵² Ibid.

⁵³ Ibid.

⁵⁴ This is based on the DRD PSL private sector compendium for 2016.

⁵⁵ Consisting of two staff paid for by IOM and the Chief Executive Officer of USA for IOM which is the Chief of Mission for IOM Washington. Both staff are only part-time on USA for IOM.

Critical dependencies	Status
IOM must commit to funding USA for IOM's operations at the level described in the plan for three years (USD 236,100 for 2017, USD 377,500 for 2018, USD 216,500 for 2019)	No commitment has been made.
The Board must agree to change the name to raise the profile of IOM and the non-profit	Name changed to USA for IOM (and website relaunched accordingly).
USA for IOM Board must agree to fully participate in board giving and make personal contributions each year	This is being done; each member is free to contribute any amount at their own discretion.
IOM must agree to find the flexibility to accept funds raised by USA for IOM for crises and for regions and provide meaningful reports on progress for those regions/crises	It is not clear if this has been agreed or not. At the time of the evaluation, no additional fundraising had taken place since the rebranding of the non-profit hence, explanation of the process was based on previous experience where USA for IOM proposed certain activities that could be funded.
DRD and the Media and Communications Division (MCD) must agree to work through USA for IOM or in partnership with USA for IOM when delivering messages to US audiences or donors	So far, there has not been a formal mechanism in place for this; yet, a Memorandum of Understanding (MoU) has been drafted that provides some guidance concerning the cooperation and collaboration for joint action. This MoU is yet to be finalised or signed.
An operating agreement between IOM and USA for IOM is needed regarding the contributions of the IOM staff and reporting for staff serving in dual roles	The MoU will not address staff serving both roles (USA for IOM and IOM) as this may raise conflict of interest given that international civil servants with privileges and immunities in the country should not be operating a local non-profit organization in the United States.

During the evaluation, based on interviews with board members, there seemed to be a sense of renewed energy and focus for the non-profit thanks to the efforts undertaken thus far and the changes made. The USA for IOM staffing team had a plan of action based on the initial plan developed by the consulting firm.

Formal channels of communication exist between USA for IOM and IOM particularly as the Chief of Mission in Washington DC is also the Chief Executive Officer of USA for IOM and that the Chief of DRD is always a Board Member of USA for IOM. The DDG has regularly attended the Board meetings as a special invitee and has been supportive of the development of USA for IOM. However, that level of coordination and exchange doesn't expand widely across IOM at an operational level. When other senior staff at IOM were asked how or if they work with USA for IOM, few of them could give examples of coordination with the non-profit. No interviewee spontaneously mentioned USA for IOM as a source of fundraising or access to private sector within the US market despite at times highlighting the importance of the US public in fundraising.⁵⁶

Furthermore, there was not a clearly defined process for identifying opportunities for funding; up until June 2017, USA for IOM tried to identify small projects that it can fund and reached out to the respective offices for potential interest. Funding amounts average to about USD 22,000 per donation yet have at times been more substantial (USD 1,460,505 for Haiti in 2014). In the various examples provided, USA for IOM acted as a donor to the respective IOM office as project proposals were submitted to USA for IOM and donor agreements were signed. Whilst, this may make sense with smaller funds and fewer projects, in the long-term, should USA for IOM reach its full fundraising potential, overseeing small projects worldwide would not be the most effective or efficient way to ensure that funds are maximised. USA for IOM is exploring more effective funding options includes donations to

⁵⁶ It should be noted that not all country or regional offices that USA for IOM may have engaged with were interviewed or responded to the survey, but some of them were. See Annex 3 for a full list of interviewees and survey respondents.

IOM-managed funds. The draft MoU does provide clarity about the role of each entity and how decisions about fundraising should be taken.

Furthermore, the online donation platforms for IOM and USA for IOM have now been merged into one and the USA for IOM staff⁵⁷ manages the platform and hence able to extract and share information to IOM on donations received either via USA for IOM or IOM. This task which has been given to USA for IOM further accentuates the need for improved collaboration to ensure that IOM can maximise the potential of the platform.⁵⁸ The responsibilities related to the fundraising platform are not mentioned in the draft MoU.

Coordination with External Stakeholders

Area of Work	Status
Liaison with private sector	<ul style="list-style-type: none"> • DRD does support direct liaison with potential partners worldwide and provides support to offices for direct engagement. • In addition, IOM has been contributing to the World Economic Forum held annually in Davos, Switzerland for several years. Contributions include the active involvement of the DG, participating in booths and side events and various summits undertaken throughout the year.
UN coordination	<ul style="list-style-type: none"> • IOM is a member of the UN Global Compact Private Sector Focal Points Network, and the UN Private Sector Emergency Focal Points Network managed by the UN Office for the Coordination of Humanitarian Affairs. IOM contributes to the biannual report of the Secretary General on private sector engagement prepared by the UN Global Compact. IOM is a member of the UN Due Diligence Working Group and the UN SDG Private Sector Partnership Task Team.

In 2018, at the World Economic Forum, IOM, together with 14 agencies set up the Sustainable Impact Hub⁵⁹ to strengthen collaboration with the private sector. IOM was also, according to an interviewee, the only UN agency that set up an event at the World Economic Forum’s official programme in 2018 together with the Dutch Ministry for Development Cooperation and McKinsey. These are all good examples of the ways that IOM interacts with both its counterparts and aims to be more visible with the private sector. However, there are still opportunities to improve its visibility and communication with private sector.

The Global Compact website⁶⁰ is also used for private sector audiences to identify potential UN agencies to work with; IOM can also be found through this website.^{61 62} The IOM search is not as elaborate as other agencies and does not provide an up-to-date view of IOM’s private sector achievements. This will be further addressed in the section on private sector communication in 4.2.3 below.

During the development of the Strategy, IOM liaised with various UN agencies to learn from their approach and efforts in engagement. The challenges identified across the UN are similar to those faced by IOM such as: bureaucratic processes that can hinder private sector partnerships, the need for more Member State support, or the need for improved knowledge-sharing (these will be addressed in the following section). IOM continues to benefit from this coordination and has been active in the working groups.

⁵⁷ The contract with the service provider was signed by IOM (Chief of Mission for IOM Washington DC) following IOM’s internal approval mechanisms and the USA for IOM staff are under IOM contracts.

⁵⁸ See the section on resource mobilisation below (specifically page 32) to see the opportunities afforded through this platform.

⁵⁹ <https://www.partnering4impact.org/sustainable-impact-hub>

⁶⁰ <https://www.unglobalcompact.org/>

⁶¹ Can be accessed through this webpage: https://business.un.org/en/browse/companies_entities

⁶² The evaluator does not know to what extent this webpage is used by partners as a source of information, but a lot of information can be found through this site concerning UN principles for business partnerships, the SDGs and partners for the UN.

4.2.3 Factors to determine achievements of the Strategy

The evaluation identified areas of key importance that can lead to effective implementation of the Strategy. The table below shows the responses most often cited by informants.

Factors identified by Key Informant Interviewees to determine effectiveness		
Factors	Number of Respondents	Number of references by respondents
1. Structure to implement private sector engagement	18	38
2. Institutional challenges	10	24
3. Communication with Private sector	20	78
4. Area of thematic focus for resource mobilisation	8	19

The Structure

The effective implementation of the Strategy is dependent on the structure and human resources in place.

According to the Strategy, the DDG will lead its implementation, yet its achievement also depends on the Chiefs of Mission helping to reach the 5 per cent goal (of total funding received per year).⁶³ Whilst no mention is made of DRD in the Strategy, thus far, it has been the primary unit responsible for overseeing the Strategy and supporting staff worldwide. This should be modified within the Strategy.

The DRD team consists of one part-time Senior Partnership Officer,⁶⁴ who also oversees traditional donor relations with key Member State donors, and a full-time Global Partnerships Officer⁶⁵ along with the help, as required, of interns. This is simply not sufficient for ensuring full potential of private sector engagement and led interviewees to also question the full commitment of the Organization to advance this engagement. As a senior staff from a Regional Office mentioned, if a proper structure or division in private sector were developed in Headquarters, the importance of the engagement would be demonstrated, and the field may in turn be more likely to engage.

Overall, 21 interviewees discussed the human and financial resources and out of these, 18 respondents reported that the current structure for private sector engagement was not adequate. One respondent noted that for an organisation so dependent on voluntary contributions for project funding (93 per cent in 2016), “it is unbelievable that IOM does not have a professional fundraising capacity and a dedicated fundraising team.” In addition to the lack of investment, it is noted that the IOM staff in the position is not required to have private sector or fundraising expertise,⁶⁶ which can affect proper implementation of the Strategy.

Currently, DRD is intending to hire a Fundraising Officer at a junior level (P2) and a Communications Officer through funding from the Strategy. These efforts will help although there were concerns that a professional fundraiser may require a higher graded position. The mid-level DRD staff working on private sector should be dedicated full time to private sector engagement, instead of being required to divide their time between private sector and traditional donor liaison.⁶⁷ It should be noted that for some organizations within the UN, establishing a dedicated structure

⁶³ Reference is only related to resource mobilisation yet there are other partnerships that are also highlighted in the Strategy.

⁶⁴ This position is not funded by the Strategy but by core funding to DRD.

⁶⁵ Funded by the OSI budget that must be approved each year.

⁶⁶ This position has been filled through rotation and terms of reference refer to both traditional donor and private sector liaison.

⁶⁷ Currently, the Strategy is not funding this senior position however there should be dedicated funding from the Strategy to cover this important position.

also was a challenge owing to the lack of skills and knowledge among staff members.⁶⁸ Other organizations with structures in place faced challenges due to limited resources.⁶⁹

A business plan drafted in 2015 following the completion of the Strategy outlined a possible structure and budget that was based on having a “Global Partnerships Coordinator”, a “Global Partnerships Support Officer” together with several specialists: fundraising experts (in various locations worldwide), individual giving expert, marketing and communications specialists, web marketing and design specialist and a reporting and business analyst. This structure, based in various locations worldwide would be gradually added from 2016 until 2020. This plan formed the basis of the initial implementation for Phase I;⁷⁰ however these positions were not issued, nor did IOM receive all the funding to implement it accordingly. It may be worth revising the plan to determine if it is still relevant for roll-out.

At the regional level, no office had a dedicated private sector colleague but depended on staff as focal points for private sector engagement. When asked whether dedicated private sector staff should be prioritised in Regional Offices, there was no consensus. Some staff felt that resources were better used for other positions at the regional level rather than on private sector experts. This is not surprising as the level of potential engagement from one region to another differs, so it would not necessarily be useful to have dedicated private sector staff in all Regional Offices. Nonetheless the Organization should consider more dedicated resources or better-trained staff who can do the necessary follow-up for private sector engagement where relevant; existing staff at regional level could be trained and be focal points for private sector engagement such as the regional liaison and policy officer or the regional programme development officer.

At the field level, there are also limited full-time staff dedicated to private sector engagement. Out of the 28 survey respondents, only two offices (corresponding to two staff – 6 per cent) had fully funded staff for private sector. Another two staff in two offices were partly funded by private sector and thus engaged part-time on private sector (6 per cent). Fourteen offices, 41 per cent of those who responded said that private sector engagement was done on an ad hoc basis. Another nine offices (32 per cent) had focal points assigned.

Institutional Processes

A significant number of interviewees highlighted that some of the institutional processes can negatively affect the Organization’s ability to achieve private sector engagement. One of the areas was the contractual processes, considered to be either not flexible enough for private sector stakeholders or too lengthy. According to interviewees, the request for non-disclosure agreements by private sector companies has at times posed a problem or delayed partnerships as companies prefer not to be listed yet IOM aims to be more transparent in disclosing partners particularly due to its recent commitments to the International Aid Transparency Initiative.⁷¹ The process of negotiation of contracts with private sector are also affected by clauses that private sector are not always familiar with such as IOM’s conflict resolution clause with the UN Commission on International Trade Law (UNCITRAL). In several circumstances, these situations were eventually resolved, and partnerships were able to continue but respondents did provide examples of discussions that eventually stopped as there could not be a resolution

⁶⁸ Dumitriu, Petru. “The United Nations System – Private Sector Partnerships Arrangements in the context of the 2030 Agenda for Sustainable Development” Joint Inspection Unit, Geneva 2017. §109.

https://www.unjiu.org/sites/www.unjiu.org/files/jiu_rep_2017_8_english.pdf

⁶⁹ Ibid. References to UNEP, WFP, UNDP, UNFPA. In addition, UNHCR and UNICEF also have dedicated teams.

⁷⁰ The budget for Phase I shows the same human resources proposed.

⁷¹ IOM has been a member since March 2017.

between IOM's template and what the company wanted. Furthermore, in certain countries, IOM's internal processes are considered too lengthy for the companies who expect a faster process.

The issues surrounding legal instruments are not specific to IOM but were also raised in the Joint Inspection Unit (JIU) report for other UN agencies. Several officials recommended a minimum set of templates that could help shorten the length of time for negotiations and clearance. One agency, the UN Development Programme (UNDP), adopted an innovation challenge policy that would provide scope of the agency to general innovative ideas and solutions which may not be achieved through their standard solicitation processes.⁷²

Another institutional challenge identified when working with private sector is the budget structure used by IOM which was reportedly often a concern raised by private sector companies as they could not understand the percentage split in salary cost for IOM staff. One solution found by an office was to charge "person days" to the private sector projects. Discussions had been ongoing with the former Director of the Department of Resource Management to confirm that this could be done and to see how staff, who may be covered by core funding, could do this and then subsequently release the initial money dedicated to their salary for other purposes. This would require further discussions between DRM and DRD to provide adequate guidance to staff and avoid potential issues yet allowing the flexibility that would allow for private sector partnerships.

Communication with Private Sector Stakeholders

A significant number of respondents highlighted that one factor that determines IOM's achievement is linked to how the Organization communicates with the private sector. **Respondents reported that the key barriers to discussing with the private sector were the difficulty in explaining what IOM does, having clear messages, and using the right language that resonates with private sector stakeholders.** Anecdotally, one interviewee mentioned that explaining IOM's work took about an hour when discussing with private sector and if it was not done well the first time, the meeting ended. This may be due to the vast array of work of the Organization but also the lack of standard messaging material that could be used and *adapted* to the audience.

Language was considered a major obstacle as IOM does not "speak" private sector language. Respondents felt that IOM lacked the expertise in tailoring the messaging to this audience and this affected potential partnerships from growing. One key informant highlighted how IOM's "usual" presentation and approach simply was not useful for that audience and that in the case of their office, they had to completely redo their presentations, brochures etc. to share with the private sector. In some cases, they would not even use the word "migrant" as it engendered too many questions and required too many explanations. Visibility material is essential but "bad visibility material is worse than no visibility material".

In addition, the expectations from private sector were considered incredibly high. Private sector stakeholders paid close attention to all details, questioned every process and wanted a clear understanding and justification for any financial (or other) contribution they would be providing to IOM. One respondent said that when speaking with the private sector, IOM needed to bring its best to the meeting. The private sector can be demanding and have high expectations on service delivery. "One mistake, and our reputation is damaged." This was a sentiment shared by others.

⁷² Dumitriu, Petru. "The United Nations System – Private Sector Partnerships Arrangements in the context of the 2030 Agenda for Sustainable Development" Joint Inspection Unit, Geneva 2017. (Ref 47-52)
https://www.unjuu.org/sites/www.unjuu.org/files/jiu_rep_2017_8_english.pdf

4.2.4. Types of partnerships

The partnership types listed in the Strategy allow for a variety of engagement and does not limit IOM to just resource mobilisation.

IOM tries to distinguish between two types of engagements: *partnerships* that are considered more long-term and *collaborations* which are once-off activities with private sector. In the survey, respondents were asked to comment on the number of collaborations which led to partnerships however the information was inconclusive. Based on the data collected by DRD in the Private Sector compendium it is possible to see that just over half (54 per cent) of the listed engagements are collaborations and 46 per cent are partnerships.⁷³ In 2016, the largest number of types engagements were in implementation (78) of which 53 were longer-term partnerships. In 2017, by far, the largest type of engagement was in advocacy (138); though most of those were collaborations (105) which included workshops; each private sector participant of a workshop was listed as one collaborator;⁷⁴ only 33 were long-term partnerships. This does show that IOM offices have tried to engage with private sector stakeholders by organising meetings, inviting them to workshops to raise visibility of IOM and migration. Overall the total number of engagements (partnerships and collaborations) has risen slightly in 2017. The tables below show the breakdown by collaborations or longer-term partnerships for each year.

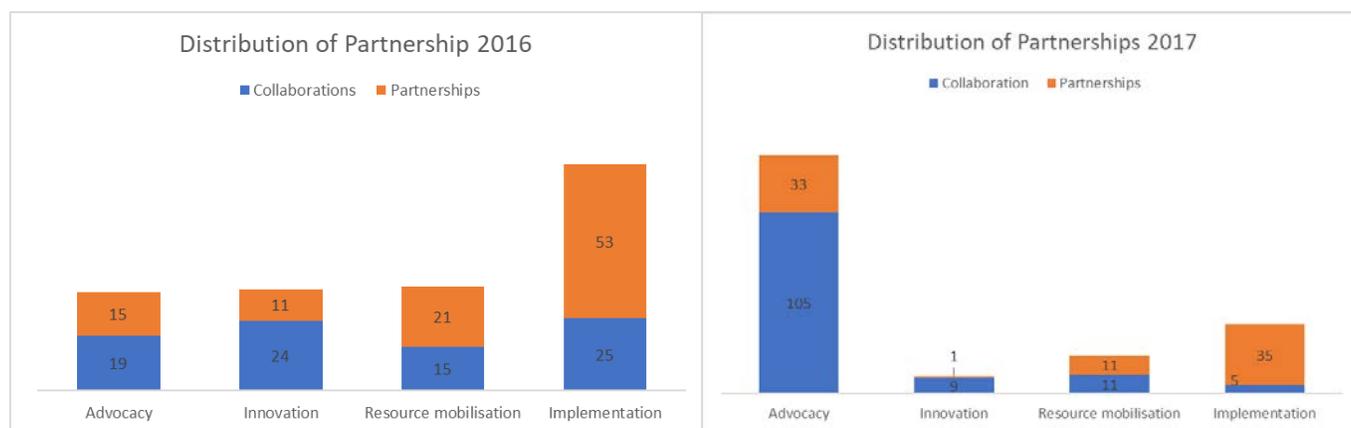


FIGURE 3: DISTRIBUTION OF PARTNERSHIPS AND COLLABORATIONS IN 2016 AND 2017

Resource mobilisation

Given that one of the objectives under the Strategy is to receive five per cent of its budget from private sector by 2020, a specific section is dedicated to determining the effectiveness of these efforts.

Resource mobilisation efforts include all related contributions from private sector, in-kind and in-cash and irrespective of the type of partnership. In addition, IOM targets individual mass giving through public donations directly to IOM or through the USA for IOM’s website and donations received by private sector companies as shown in the compendium as once-off or regular donations. So far, no official stance or decision has been taken about

⁷³ Under partnerships, airline agreements have been included which correspond to 10 in 2016 and none in 2017.

⁷⁴ For example, one Country Office organised a workshop where 17 companies attended, these are all listed under advocacy.

working with high-net-worth individuals or celebrities;⁷⁵ the feasibility report in 2012 recommended not focusing on this group, yet they are listed as a target group in the Strategy.⁷⁶

IOM received USD10,906,459 in 2016 and USD 4,190,367 in 2017 from private sector sources; this represents less than 1 per cent of the budget each year.⁷⁷ It should be said that about 48 per cent of the funding received in 2016 were from two foundations for specific causes. In 2017, 27 per cent of the funding was received by one private sector company for an implementation partnership. IOM also tracks the number of donations received through the website, USA for IOM or other means that may be directed to a specific cause or to be allocated based on needs. IOM received USD 210,908 and USD 194,213 respectively in 2016 and 2017. The charts below show the breakdown of the sources of the donations for each year. Both years, a small amount of money was donated without a focus in mind, listed as “to be allocated” in the financial report; this was USD 46,612 and USD 17,815 respectively for each year. **Overall, the contributions from private sector remain limited and far from reaching the 5 per cent. However, this does not reflect the efforts undertaken by offices to improve on private sector engagement.**

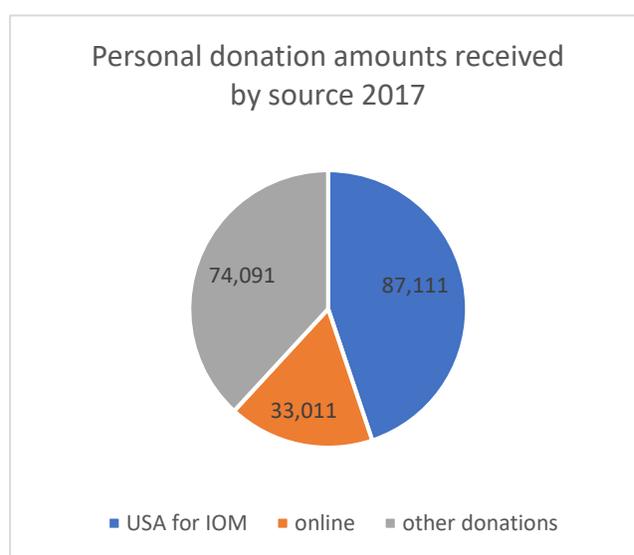
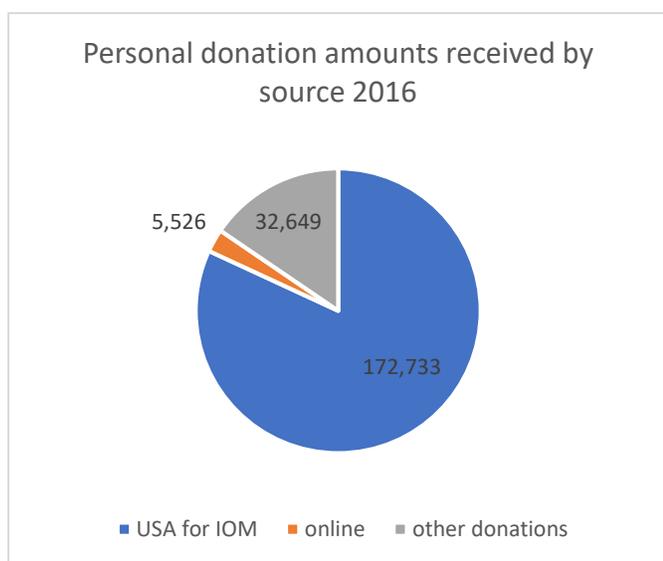


FIGURE 4: DONATION AMOUNTS RECEIVED BY SOURCE IN 2016

FIGURE 5: DONATION AMOUNTS RECEIVED BY SOURCE IN 2017

There are key factors related to public donations that are important to consider, if IOM still aims to maintain and strengthen efforts for public donations, either directly or through the other fundraising entities.

1. Decisions on what to fund

One of the factors that appeared to be unclear was the priority areas of focus for fundraising at IOM. This has direct implications on the messaging challenges as described above but also on IOM’s staff approach to fundraising across the Organization. There was consensus that prioritisation was important to ensure that IOM was not trying to cover all migration-related areas; yet there was no official documentation of what these areas of focus would be or are. Furthermore, there did not appear to be an agreement as to which areas to focus on with some respondents believing that the emergency or humanitarian areas would attract more interest and others saying that positive

⁷⁵ Currently DRD is putting together guidelines for engaging with goodwill ambassadors.

⁷⁶ USA for IOM has recently embarked on a plan to cultivate relationships with high-net worth individuals for the purpose of fundraising. This is not being evaluated in this report.

⁷⁷ According to the IOM Financial Report submitted to the Council for each year respectively however including the USA for IOM contributions in 2016 and 2017 that were listed under “Other Organisations” as well as the contributions listed under “Private Sector”.

efforts such as diaspora and development would be equally relevant and attractive, particularly for diaspora groups who may want to contribute to their countries of origin. Currently, there is no department or division with the authority to decide on priority areas of focus for the Organization.

USA for IOM has prioritised three “buckets” for fundraising: climate change and natural disasters, complex emergencies and human trafficking. These are based on the suggestion of the communications plan and agreed by the Board of USA for IOM but were reportedly not discussed or agreed to with IOM. These are apparently in line with what US-based public would be most interested in funding.

Besides the donations received for specific causes, IOM does receive funding that it is able to allocate itself. This may be received through USA for IOM or directly by IOM. Currently, there is no process for how to pool and allocate this funding in a systematic way. In part, the projectized nature of the organization makes it difficult to pool funding without a specific project. Similarly, a mechanism needs to be identified between DRD and USA for IOM to determine how best to use the fund in line with the intention of the donors and launch potential funding campaigns for specific appeals. These decisions may likely require several departments within IOM. USA for IOM has already started exploring the possibility of transferring funds to two global funds, the Global Assistance Fund and the Migration Emergency Fund Mechanism.

2. Active efforts to promote specific campaigns

IOM is currently not actively promoting specific areas of interventions requiring funding through the global website or through USA for IOM. Promotion of specific campaigns does require significant investment in time and follow up to respond to and report back to the donors; the lack of human resources may be one of the obstacles to do this.

There is a missed opportunity to use USA for IOM for US-based public when they may have the capacity and ability to promote specific appeals. USA for IOM has an established mechanism to respond to and reach out to private donors and depending on the level of donation: over 200 USD, the giver receives a postcard, over 1000 USD, the giver receives a phone call to engage in that relationship. USA for IOM has examples of how small investments of time and effort can provide some benefits. For example, the non-profit invested USD 500 for a communication campaign for the Iraq crisis and received USD 7000 in the course of one weekend.⁷⁸ In 2015, amid the Mediterranean migration crisis the head of IOM’s MCD was interviewed by the US Public Broadcasting Station and suggested viewers visit the USAIM website where subsequently USD 25,000 was received overnight. This is indicative of the possible benefit that could be gained if more formal and targeted approaches to appeals and campaigns are done. IOM will miss opportunities if a mechanism is not established. During the last hurricane season in the Caribbean, according to an interviewee, across all mainstream media channels in the US, there were calls to donate to large agencies. Due to lack of reaction and coordination to participate, IOM was not featured as one of the potential agencies despite the Organization’s experience and mandate in situations of natural disasters.

The current donation platform that IOM (and USA for IOM) uses provides the opportunity to send out mass emails and manage the contributions. It is not clear that this platform is being used with this capacity for all donations it receives and if so, who is responsible to do that, particularly for contributions that do not come via USA for IOM. IOM does not have a person responsible for tracking donations and providing follow-up.

3. Philanthropy through individual-mass giving:

⁷⁸ According to interview.

IOM does, as do many UN agencies, provide an opportunity to donate via the website yet there are several issues that make the donation option less fluid for potential givers. It should be noted that the donate button is not very visible on the website and unlike other UN agencies (the UN Children’s Fund (UNICEF), UNHCR and WFP) whose “donate” button appears at the very top of their page, the IOM one is at the bottom amongst other icons and therefore not prominent (see Annex 4 with the home pages of each agency). Furthermore, in the other three agencies, no matter which page of the website is viewed, the donate button is still available. Within the IOM site, it is only visible on the homepage and the IOM Development Fund page.

Another difficulty is identifying what to fund within IOM. The donate page at IOM provides nine possible areas to fund, some detailed such as the “global solar lanterns initiative,” others more general such as “victims of trafficking” or “wherever is it most needed.”⁷⁹ On the IOM page, if a US-based individual wants to make a tax-deductible donation, they are directed to the USA for IOM website which lists the three funding streams the non-profit has prioritised⁸⁰ along with the option “where it is needed most urgently.” Thus, a US-based donor would not be able to select the other areas they may have been interested in. Furthermore, if attempting to donate to the IOM Development Fund, a US-based donor would not be able to select that option for a tax-deductible donation.⁸¹

Lastly, there are no focused campaigns or appeals that viewers can review and possibly donate to. The humanitarian appeals are not accessible on the IOM website and require going to another separate website (which is only accessible through several clicks on the top menu (see diagram below).

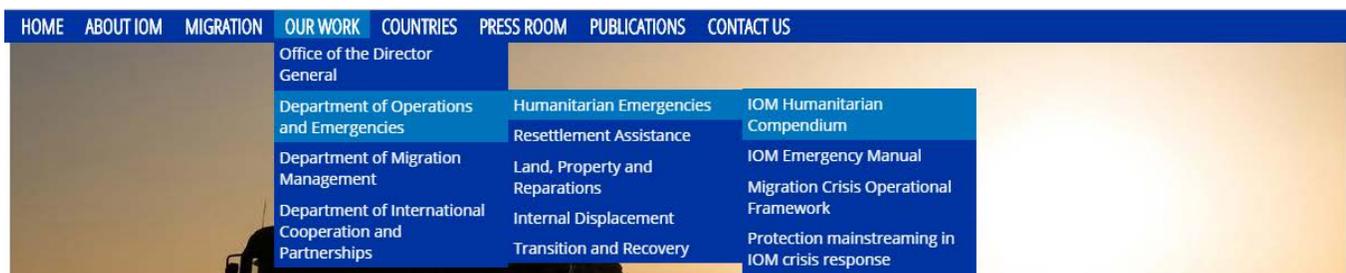


FIGURE 6: IOM INTERNET HOMEPAGE AND ACCESS TO THE HUMANITARIAN COMPENDIUM

Once on the separate website, although each appeal has a clickable download icon, they do not work, and the appeals cannot be donated to directly. Although it should be noted that for every appeal, there is a clickable option “download this appeal” which does not work. The donate button on the humanitarian appeals page takes the viewer back to the initial donation page.⁸² Improving the options for online donations on the IOM webpage should be done throughout the site ensuring a more fluid and streamlined access for potential givers.

4. Locations for specific fundraising hubs

Besides the arrangement for USA for IOM, IOM does not have another location where dedicated private sector fundraising takes place. Out of the 16 respondents who discussed how to generate funding from private sector, nine respondents discussed this issue and considered that the lack of tax benefits provided in other parts of the world was a barrier towards philanthropic giving from individuals but also companies who could benefit from tax breaks as well. There is potential in other parts of the world which is not capitalised on and do require resources

⁷⁹ https://secure.everyaction.com/J_smamKzWk2aNJMN0Pf5ow2

⁸⁰ <https://usaforiom.org/donate>

⁸¹ <https://secure.everyaction.com/xzTgdmv8VEiXe6fhxVdYrA2>

⁸² https://secure.everyaction.com/J_smamKzWk2aNJMN0Pf5ow2

to build up. In the UK, IOM used an intermediary entity for charitable giving.⁸³ IOM has received tax exemption for donations in the Republic of Korea; so far, the Country Office has not tapped into this and does not have the capacity to provide this fundraising support for IOM worldwide. That said, Korea is considered a viable and good market for fundraising and several UN agencies as well as NGOs have established fundraising offices there; this would require a decision from the Administration as well as resources and commitment to proceed. Two staff reported that they had sought tax exemption within their respective countries yet due to lack of approach or process from Headquarters, they were not able to proceed. In one instance, these efforts were primarily for a specific project-focus and not to support global fundraising mechanisms.

Several respondents queried whether IOM aims to improve this and some recollected that over the years, discussion have surfaced at IOM to create fundraising hubs. A draft four-year fundraising plan proposes a progressive approach to increasing the hubs each year. It also sets out the two models that could be used: indirect model, such as the USA for IOM one where national non-profit entities are established and associated with IOM and the direct model where IOM augments house country agreements to allow for IOM to directly provide donors with tax deductible receipts of their giving.⁸⁴ IOM should reconsider this plan to determine how this could be set out with the necessary resources committed.

4.3. Efficiency

In this section, further analysis about the use of existing resources will be conducted to determine if they sufficiently corresponded to the needs to reach the results and used effectively. Furthermore, an analysis about IOM’s ability to fundraise for the Strategy and private sector engagement will be conducted. Where possible, information about the return on the investment will be provided.

4.3.1. Use of human and financial resources to reach expected results

It is hard to conclude whether the priorities selected by IOM were the right ones, however, the DRD private sector team did attempt to complete what it could with its limited funding and staff resources. In the last two years, IOM required a total of USD 5.8 million to implement the strategy. IOM received a total of 28.4 per cent of its requirement, with 18.7 per cent of that coming from IOM funds (or 66 per cent of the total amount received). **This funding was not sufficient to be able to implement the first phase of the Strategy and was well below the estimated amount required to fully benefit from private sector investment.**⁸⁵ The following table shows the amount of funding received per year and through which source of funding.

Funding [in USD]	2016	2017	Total	Percentage
Total Required	2,712,236	3,169,875	5,882,111	100.00%
Total Received	500,000	1,170,000	1,670,000	28.4%

⁸³ No information was provided as to what amount of money is received from them. According to the feasibility study in 2012, the UK would be a good location as it is considered a mature fundraising market and could be a hub for other European countries.

⁸⁴ Four Year Private Sector Fundraising Plan

⁸⁵ As per the feasibility study, an initial investment of USD 2-2.5 million would be required to raise up to USD 20 – 25 million per year.

IOM	500,000 ⁸⁶	600,000 ⁸⁷	1,100,000	18.7%
Member States	0	*570,000	570,000	9.7%
Short-fall	2,212,236	1,999,875	4,212,111	71.6%

*Subject to EUR/USD exchange rate fluctuations

Whilst the amounts remained small, they had the opportunity to expand the reach of IOM worldwide in terms of private sector engagement. Some money (primarily in terms of staff time) was also spent building the due diligence process. Initially IOM intended to develop the CRM, but this was stopped just prior to signing the contract with the identified service provider.⁸⁸ DRD also prioritised support to USA for IOM which was directly linked to improving resource mobilisation for the Organization and support to small grants for Country Offices worldwide. The management of the 12 grants plus providing guidance to other offices also limited the small team to develop all the tools and guidance that it intended to do, such as the communication guidelines.

4.3.2. Funding the Strategy

Based on interviews with IOM staff, there had been an expectation that given the Member States' interest in IOM developing a private sector strategy, there would equally be appetite to support the Organization in funding it to strengthen the engagement. In 2016, the Organization was not able to secure funding from the Member States; in 2017, IOM received funding from the Governments of Belgium, Korea and the United States⁸⁹ that it allocated to the Strategy. The DDG and the Chief of DRD also met with some Permanent Missions in Geneva to engender further support from the Member States.⁹⁰ According to the IOM interviewees, the lack of interest in funding the Strategy was because Member States expected IOM to invest into the Organization's fundraising and stakeholder engagement rather than using donor funds. Another reason was that Member States did not have a mechanism to contribute to this type of support as their funding was tied to specific results or strategic approaches that would not correspond to this request.⁹¹

Donors are funding specific private sector projects in other countries hence, and although they may not be interested in funding the implementation of the Strategy, there is potential at field level. The IOM Development Fund is also providing funding for private sector related projects which also can engender further support; the Corporate Responsibility in Eliminating Slavery and Trafficking (CREST) project was first started due to the support from the Development Fund. Subsequently, IOM Viet Nam, where CREST started, received USD 5 million in seed funding from the Government of Sweden to build new relationships with private sector companies with the intention that IOM would match the funds directly from the private sector during the life of the project; the office was able to raise USD 2.6 million in a six-month period thanks to this initial contribution.⁹² Furthermore, PSL DRD was able to use the Member State funding it *did* receive to support country-level efforts.

⁸⁶ The IOM funding received in 2016 (USD 500,000) includes USD 250,000 approved by the OSI as well as the costs related to the Senior Partnerships Officer funded from the Administrative budget.

⁸⁷ In 2017, the amounts received from IOM include USD 250,000 of unearmarked contributions from the United States and USD 100,000 from OSI. The remaining represent the salary for the Senior Partnerships Officer.

⁸⁸ This decision was taken as it would have required a significant portion of the funding received in 2016 and portion of limited staff time and would not have allowed IOM to undertake other activities.

⁸⁹ Through unearmarked funds, thus IOM decided to allocate it to the Strategy.

⁹⁰ These visits were prioritised in 2016 and 2017 and have not taken place in 2018.

⁹¹ It was agreed at the time of the finalising on the Terms of Reference that the evaluator would not focus on the perspective of the Member States for this evaluation.

⁹² According to interview.

The Strategy has been primarily funded by the Organization itself. Initially funding received in 2016 through the operational support income (OSI) budget had not been approved by the OSI committee yet their decision was overturned by the DG which subsequently led to the Strategy receiving USD 250,000 in 2016. However, in 2017 the OSI committee did approve funding for private sector (USD 350,000) some of which was provided to USA for IOM.⁹³ The DG and DDG also agreed that USA for IOM would receive USD 469,000 in 2018, 50 per cent would come from the OSI and 50 per cent would be allocated through the resource allocation of unearmarked funds; to-date, USA for IOM only received USD 233,000.

The Strategy has had limited funding opportunities thus far and hence, it would be beneficial to consider how a percentage of the funding raised could be used to implement it. Initially, for the implementation of Phase I, the aim was to include an additional 8 per cent fee on top of the standard 7 per cent overhead to cover the costs for the strategy including staff, IT, expertise, training, or outreach materials. This would mean charging private sector 15 per cent; this was not agreed to by the DG as it was not in line with the IOM financial rules. Hence, contributions from private sector are charged the usual 7 per cent and this funding goes into the operational support income for the Organization. One suggestion made was that this overhead, or part of it, should go back into a private sector fund to maintain reinvestment into private sector engagement. A similar mechanism is already in place with USA for IOM that keeps 10 per cent of all contributions for the running costs. According to interviewees, the redistribution of the OSI has been discussed but not agreed to with the Administration. Alternative ways of maintaining the private sector engagement is necessary if the Organization cannot commit to provide predictable funding for its implementation.

Overall, discussions about prioritisation and commitment was had with 23 respondents. Several staff commended the strong leadership of the DDG in leading the process for the development and implementation of the Strategy and highlighted that her championing was essential for a positive launch of the Strategy. Nonetheless, 14 respondents reported that overall commitment from the Administration was lacking. This was based on the low level of funding, and the insufficient capacity and structure in place to support implementation. **If IOM is hoping to use private sector as a fundraising branch for the Organisation, then, some investment must be made to receive the benefits.** Other types of partnerships with private sector still require a level of investment particularly in terms of capacity and staff due to the time involved, the need to understand the audience etc, financial benefits from the private sector, be it the public or companies, require investments; this is a decision IOM needs to take.

It is difficult to ascertain the return of the investment in the Strategy and its implementation. It is evident that with only two years of implementation of this Strategy, the 5 per cent goal for private sector fundraising will not be met yet no other targets between 2016 and 2020 exist in terms of funding raised or funding invested to get to this amount. It is equally difficult to determine when IOM has truly exhausted its efforts in attracting private sector. Currently, the lack of monitoring or identification of lessons learnt or best practices over the years of efforts may make it difficult to determine if the efforts outweigh the gains. Furthermore, respondents want to know what the tangible results are, how current funding has already lead to improved engagement, yet this may be a vicious circle as investment levels are too low to show high returns and these may not all be translated to a monetary value.⁹⁴

Besides the monetary gains, it is equally important to remember that there are also other returns that can be expected from private sector engagement particularly in terms of the benefit for migrants and society as per the Strategy's objectives which should not be forgotten or dismissed. Private sector engagement is necessary to reach

⁹³ As per the explanations provided above, these amounts are the specific financial contributions provided by OSI excluding in-kind support for human resources or other unearmarked funding.

⁹⁴ For example, collaborations with private sector, participation or the organisation of meetings may lead to longer-term partnerships yet this may not have a monetary value.

the Sustainable Development Goals, significant efforts have been undertaken to forge these partnerships with the understanding that the sector has a role and responsibilities to ensure that states can reach the 2030 Agenda.

Furthermore, in the Global Compact for Migration, partnerships with “whole of society” stakeholders, including private sector, is promoted in migration governance. Specific actions to invest in human capital development (...) in line with labour market needs, as well as in cooperation with the private sector and trade unions, with a view of reducing youth unemployment, avoiding brain drain and optimizing brain gain in countries of origin, and harnessing the demographic dividend.”⁹⁵ The inclusion of private sector is mentioned several times in the document for awareness raising, identifying pathways for regular migration through labour market needs and reviewing existing labour laws to protect migrant workers, to name a few. IOM has also stated several actionable commitments to the GCM which include strengthening partnerships with private sector, specific references to the CREST programme, or working with private sector to leverage the potential of “big data” for measuring migration.⁹⁶ These commitments will need to be properly monitored and included in the implementation of the Strategy in Phase II to ensure that there are additional targets identified and measured to show the value of the Strategy.

Investment comparison with other UN agencies

At the time of drafting this evaluation, the Private Sector Liaison team at DRD hired a consultant to compare how private sector structures, investments and contributions across several UN agencies. The study shows that in order to see an increase in contributions from private sector, an investment needs to take place. Please see the table below showing the amount invested, the cost ratio and the private sector contributions for four agencies including IOM:

	WFP	UNICEF	UNHCR	IOM
Investment (in USD)	2018 – 2021 (estimated): 24 million (costs for implementation of its private sector strategy)	2017: 83 million (investment funds) -> 1.26% of total budget	2017: 133.3 million (costs for private sector fundraising and others)	2017: Nearly 1.17 million was invested in implementing the Strategy (of which 149,210 was invested in USA for IOM)
Cost Ratio (what is spent for every US dollar received)	35% (for individual giving) -> WFP needs to spend 35 Cents to get 1 Dollar in return	35% (overall)	32% (overall)	No cost ratio as no direct investment in fundraising
Private sector contributions in 2017 (in USD)	84.8 million	1.71 billion	400 million	4.1 million
Percentage of overall budget	1.4%	26%	10%	.25%

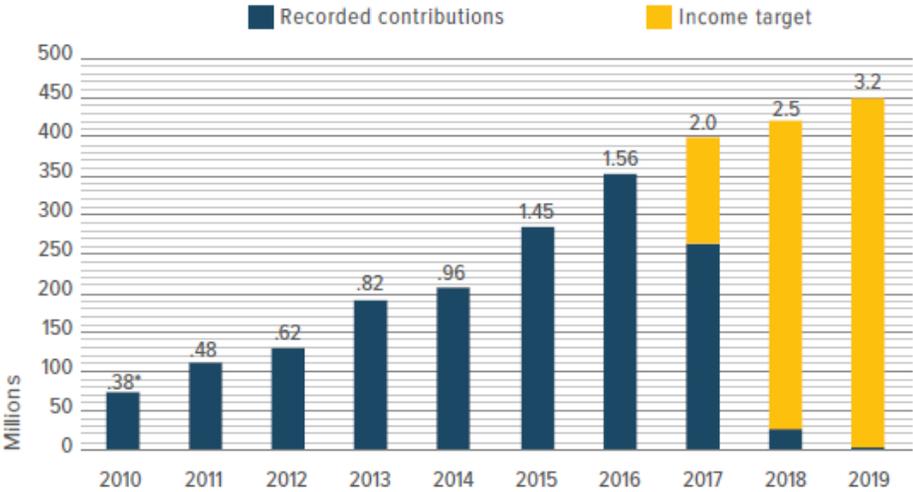
As per the table above, these UN agencies invest about 32 to 35 cents for each US dollar raised.⁹⁷ In 2005, UNHCR set itself a goal to raise 10 per cent of its organisation’s budget by 2012 which was equivalent to USD 100 million at

⁹⁵ Pg. 8 of the “Global Compact for Safe, Orderly and Regular Migration” Final Draft 11 July 2018. Accessed: https://refugeemigrants.un.org/sites/default/files/180711_final_draft_0.pdf

⁹⁶ IOM. “Supplemental Input to the UN Secretary General’s Report on the Global Compact for Safe, Orderly and Regular Migration: Actionable Commitments.” October 2017. https://www.iom.int/sites/default/files/our_work/ODG/GCM/Input2-IOM-Actionable-Commitments-Final.pdf

⁹⁷ PowerPoint presentation from PSL DRD “Private Sector Fundraising Analysis of Sources and Results Achieved by UN and Other Not-for-profit Organizations”

the time and by 2011, it had exceeded that goal.⁹⁸ The Figure 8 below shows the steady growth of its private sector investment since 2010.



* Numbers of Individual donors in millions. Figures for 2017-2019 are estimates based on current trends and data.

FIGURE 7: CONTRIBUTIONS FROM THE PRIVATE SECTOR TO UNHCR IN USD MILLIONS⁹⁹

The Figure 9 below compares the contributions of UNHCR and IOM during the same 10-year span (including projections for UNHCR). These trends indicate that with consistent and committed investment, agencies can raise the necessary private sector funds.

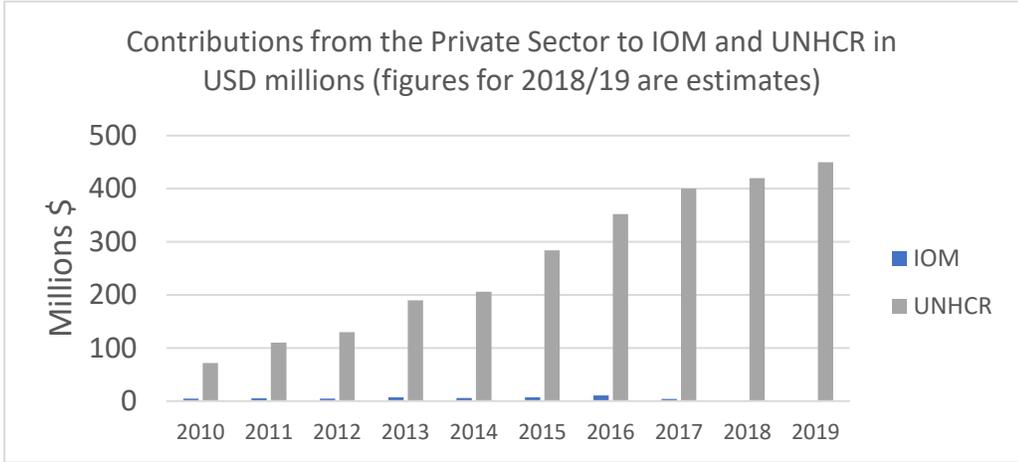


FIGURE 8: TRENDS COMPARISON IOM AND UNHCR¹⁰⁰

⁹⁸ Weight, Della. "Report Private sector fundraising feasibility study" think consulting solutions, October 2012

⁹⁹ Source: http://reporting.unhcr.org/sites/default/files/ga2018/pdf/Global_Appeal_2018_full_lowres.pdf

¹⁰⁰ PowerPoint from PSL DRD "Private Sector Fundraising Analysis of Sources and Results Achieved by UN and Other Not-for-profit Organizations"

1.4 Outcome and Impact

Under this section the evaluation has attempted to identify what intended or unintended changes took place since the Strategy has been in place and to what extent these may be linked to the Strategy itself. The focus of this section will be primarily on the outcomes rather than looking at longer-term impact given that it is too soon to determine what impact will be had. In addition, it is evident that longer-term impact is linked to predictability in terms of resources, both human and financial and this will be covered under sustainability below.

Respondents, both in key informant interviews and in the survey, were asked what they considered the main objective and the results that they *expect* to see from the Strategy implementation. Below are the answers that were provided during the interviews:¹⁰¹

Response	Interviewees (#)	Survey respondents (#)	Comments
Changing the logic from donor to partner and show them the value and benefits of working with IOM	12		Respondents hoped to increase the types of partnerships with private sector. They wanted to be a partner for private companies and be able to show that working on migration was not just a philanthropic area but also a sound business decision.
An opportunity to increase funding for programmatic areas	6	13	Respondents reported that there are programmatic areas that can be useful for private sector (e.g. labour migration) and these need to be further explored. Some interviewees felt that there was donor fatigue, and this was a less explored resource.
Increase visibility for IOM	4		Respondents hoped to make IOM more visible and thereby increase IOM's engagement
Achieving the SDGs	3		In the Agenda 2030, Goal 17 refers working with the private sector. Having the strategy can help to operationalise and achieve the SDGs.
Exploring new opportunities and skills	2	13	Interviewees reported that there are new opportunities that have not explored yet and building partnerships with private sector may help us to brainstorm and identify other areas or ways of working. Respondents also saw the opportunity for IOM staff to learn new skills and knowledge through partnerships with private sector.

These results do not differ greatly from the ones stated in the Strategy which are related to: amplifying key migration messages, developing new approaches and IOM's capacity to better assist migrants and society, mobilisation finance and in-kind resources and promoting efforts for new opportunities and challenges.

Likewise, respondents were asked what results *were* achieved thus far. Many respondents highlighted specific achievements related to their individual projects such as the donations received, and activities completed which, although indicate successful completion of activities, do not necessarily mean that there was a higher-level result or change. **One key result identified by respondents is that partnerships have lead to other partnerships or higher**

¹⁰¹ Other respondents (4 of the interviews and 12 from the surveys) highlighted programme-specific results that they hoped to achieve

visibility which also facilitates replication. This was mentioned by seven respondents during interviews. For example, IOM's work in CREST has raised interest in other regions in Asia and other private companies who take notice of the need to look at their recruitment systems and labour supply chains. This has helped to promote safe migration and discuss rights-based approaches in sending and destination countries. Through direct funding from the Strategy, IOM was able to support two more countries in rolling out CREST within Asia and further contribute to Viet Nam's CREST project. One respondent highlighted that, in terms of the work done in labour migration with private sector, "the political capital that we have gained is not to be understated" as the Organization has gained credibility through the work it has accomplished. Some of the partnerships, such as with Korea Telecom have opened the door for IOM to engage with other potential partners.

Respondents felt that there is growing awareness and interest internally about the value and the need for the private sector and this was considered a major achievement. This was mentioned by five respondents, primarily from staff who have worked closely on the Strategy. This idea was also reinforced by the call for proposals that was sent out for Country Offices to receive small grants for private sector engagement; PSL DRD received 29 proposals from 23 offices.¹⁰²

According to one respondent, one unexpected positive outcome has been the number of implementation partnerships that IOM has been able to develop. This was attributed in part to the projectized nature that allows IOM a certain degree of flexibility and ability to deliver; reportedly, IOM is more successful at implementation partnerships than other UN agencies.¹⁰³ Whereas, the other UN agencies struggle with country-level partnerships,¹⁰⁴ IOM's successes will likely be at country level given that the Organization's work is field-based.

Three respondents felt that there were so far limited results besides some of the donations and partnerships and that it will take longer to see any change from this Strategy. This is due, in part, to the difficulty of determining the level of contribution the Strategy had to some of the results if the Strategy did not directly fund any of the efforts. The Strategy would benefit from clearer targets and baselines against which to measure its progress.

One change that the Strategy contributed to is the adjustments made at USA for IOM including the name change, the website and the higher visibility because of the funding that the Strategy directly provided. It is however too soon to know how USA for IOM will be able to fully capitalise from these adjustments to raise more funds for IOM.

1.5 Sustainability

In this section, the evaluation will first determine what elements are in place to guarantee longer-term partnerships and sustainability and then what has been accomplished so far in the implementation of the Strategy that may allow for a sustainable approach to private sector engagement.

Although no conclusive information could be gleaned from the survey concerning the number of collaborations that evolved into longer-term partnerships, according to the compendium, 22 partnerships continued from 2016 to 2017 in 14 countries. Most of the partnerships were in the same thematic area and often the same type of partnership – implementation, awareness-raising, innovation or resource mobilization - yet examples were also provided of companies being invited to specific workshops or meetings following a previous collaboration. For example, in Belarus, the partnership with a commercial supplies company led to them to come to an awareness-raising event on human trafficking the following year.

¹⁰² It should be noted that one of the calls was only limited to 14 countries.

¹⁰³ Disaggregation from other UN agencies was not available; this is based on one key informant interview.

¹⁰⁴ UNGA, Enhanced cooperation between the UN and all relevant partners, in particular the private sector, Report of the Secretary General. 66th session, A/66/320, 23 August 2011

In addition, 18 companies worked in more than one country, across the two-year period. For instance, one company worked in one country in 2016 and branched out to five others in 2017. Furthermore, the nature of the partnerships did at times change for example one company worked on an awareness raising activity on ethical recruitment in one country yet provided donations for a humanitarian crisis in another. Understanding the reasons for the expansions would require more analysis of each individual partnership but this does show strong potential for sustainable partnerships that can grow in scope and geographical locations as the relationship matures. Further work is needed to support these maturing relationships and determine how the partnerships can continue to be beneficial to both parties. A mapping of interests of entities partners may help to better target potential partnerships; a mechanism to monitor partnerships, check on their satisfaction of the partnerships and receive feedback would support more sustainable and long-term partnerships.¹⁰⁵

Some of the structural changes made under the Strategy will benefit the ability to guarantee sustainability yet these need to be further developed and completed. The first two years of implementation of the Strategy has focused on putting in place some key structural adjustments namely the due diligence process, guidance materials, and the strengthening of USA for IOM. The due diligence process is important considering IOM's efforts to manage risk¹⁰⁶ and does offer a framework and protection for IOM as it enters into partnerships with new entities. Efforts are on-going to put together materials and tools for engagement although these are not used to their full potential and several have not been started or completed such as the communications plan, and the business cases.¹⁰⁷

The support to USA for IOM also contributed to a structural change that has the potential to make private sector partnership engagement more sustainable. If USA for IOM can continue implementing its communication plan and both IOM and USA for IOM can strengthen their coordination, this may also lead to more sustainable interventions. Currently, IOM staff do not consider USA for IOM as a potential source for alternative funding making the non-profit less relevant than it has the potential to be. However, developing a progressive approach to increasing fundraising locations, as described in the four-year fundraising plan, may lead to a more sustainable approach.

Nonetheless, the efforts gained will not in themselves be sufficient to increase partnerships or create a sustainable process; the Strategy (and USA for IOM) still require injection of capital and resources to be able to maintain and increase current efforts and see the long-term benefits from the partnerships or reach the 5 per cent goal as set out by the Strategy. **The lack of commitment for funding and predictable funding is a major obstacle to ensuring that outcomes will be reached and that current efforts are sustainable.** Respondents were concerned by the lack of predictability; there was a lot of pressure on the various teams to deliver yet they were being handicapped by the lack of funding and ability to plan.

2. Conclusions and Recommendations

The Private Sector Partnerships Strategy is directly related and supports IOM's mission and mandate. The Strategy has given the necessary framework for the Organization to better define and understand what it aims to achieve from private sector engagement. This was an important achievement that helped staff internally but also allowed external stakeholders, notably potential partners to better understand IOM's aims.

¹⁰⁵ Lists of potential partners have been provided in both the feasibility study of 2012 and the Regional Office for Asia and the Pacific.

¹⁰⁶ IN/213 came out at the end of 2015 and subsequently, more emphasis has been placed on risk awareness and management.

¹⁰⁷ The DRD private sector team is in the process of developing an online training module as well.

The implementation of the Strategy has been led by the DDG, the Chief of DRD and the DRD private sector team who have had to make decisions to prioritize how to guide offices worldwide through technical support and build the foundation for engagement, while providing direct financial support to offices to increase their own partnerships at field-level. There are key factors that need to be addressed for a successful implementation of the Strategy, notably related to the structure of the team, insufficient understanding of how to engage and communicate with the private sector, and some institutional processes that can be a hindrance to effective engagement with the private sector. Although there are efforts to institutionalise and centralise the management of the strategy, the ability to implement it and ensure private sector engagement was determined both by the interest and efforts of the staff in Country Offices and the context in which they work.

IOM has expanded its efforts into four types of partnerships with private sector entities and has been able to expand implementation partnerships in addition to those related to advocacy and awareness raising. Nonetheless, reaching the potential of the financial contributions of the private sector remains an important goal for the Organization, requiring strengthening existing efforts or establishing processes to improve resource mobilization, such as launching appeals, identifying thematic areas of interest and how best to engage with all types of private sector donors on a regular basis to increase their interest. Some of the responsibilities, such as managing the donation platform, have been given to USA for IOM staff yet this should be revisited to determine if they should be best hosted at IOM Headquarters allowing USA for IOM to concentrate on its own responsibilities.

The funding received **was not sufficient to implement the first phase of the Strategy and was well below the estimated amount required to fully benefit from private sector investment.** The contributions from private sector remain limited and are far from reaching the 5 per cent goal in 2020, though this is not a reflection of the efforts undertaken by the offices to improve private sector engagement. It is hard to conclude whether the priorities selected under Phase I were the right ones, though DRD did attempt to complete what it could with the limited funding and resources it had and identify interventions that would build the foundations for private sector as well as provide direct support to Country Offices.

The Strategy has also had limited funding which has not been predictable making planning and implementation challenging. To fully implement the strategy and increase private sector engagement, IOM may have to depend on its own funding and investments to demonstrate the benefits of these efforts. Member State support may be more feasible at the field level when pitching specific projects with private sector.

Several lessons learnt were identified by respondents during the data collection process:

1. **Institutional approach and good coordination mechanisms are necessary and key to attract and develop relationships with private sector.** Private sector expects similar messaging and processes across IOM irrespective of the location that need to be well-developed and consistent. This requires more streamlined guidance from the private sector team to ensure good results. Furthermore, Country Offices need to understand how other offices (and DRD) have approached specific entities so that IOM can demonstrate this coordinated approach.
2. **The challenge to attracting private sector is knowing where IOM's opportunities lie; this also means knowing more about the private sector and the context in which IOM works.** IOM needs to learn about the companies that it may seek to attract, understanding what they want and need; based on the latter, IOM should determine what it can offer. One UN agency receives yearly donations of 11 million USD a year from the employees of one global company after having shown the link between what the UN agencies is doing and the company.
3. **IOM can capitalize on the learning experiences with various private sector partnerships developed around the world.** IOM staff spoke about the incredible learning curve as they pursued relationships with

companies around the world, learning their language, their approach and what they expected. This learning is invaluable and should be shared with other staff. Furthermore, it can also allow IOM to identify new engagement opportunities. For example, through a partnership with a private visa processing company, IOM has been able to develop further skills in the methodologies that have now allowed the Organization to develop additional projects in other parts of the world.

4. **Partnerships with private sector companies requires a significant amount of time and investment that can have better results and long-lasting benefits if IOM treats them as partners and not as a source of funding.** Private sector partners can be the source of significant amount of funding or services, yet IOM staff needs to understand that these relationships require a lot of hard work to mature. Furthermore, these stakeholders do not want to be seen as a donor but as a *partner*. Benefits will be more long lasting and effective if IOM works together with the companies to identify issues and solutions.

5.1 Recommendations

Recommendations that have been made throughout the findings and are summarized here into specific thematic areas:

1. **Funding the Strategy:** The Strategy requires predictable sources of funding to be implemented and to reach the goals established within it. Some suggestions for this include:
 - a) A commitment from IOM that a fixed amount of money will be allocated for private sector engagement;
 - b) Agreeing that a percentage of the funding received from private sector donations from the overhead is included into a private sector fund that can help to address shortfalls; and
 - c) Continuing to promote and identify project-level private sector opportunities that may also be attracted for traditional donors.
2. **Adjust the implementation of the Strategy based on committed and predictable investments:** If IOM is unable to commit to implementing the Strategy within the expected timeframe without the investments needed then the Strategy and expectations from private sector should be adjusted to be realistic to what it can accomplish. For instance, only one or two of the partnerships types may have to be prioritised.
3. **Funding the Strategy:** The Strategy requires predictable sources of funding to be implemented and to reach the goals established within it. Some suggestions for this include:
 - d) A commitment from IOM that a fixed amount of money will be allocated for private sector engagement;
 - e) Agreeing that a percentage of the funding received from private sector donations from the overhead is included into a private sector fund that can help to address shortfalls; and
 - f) Continuing to promote and identify project-level private sector opportunities that may also be attracted for traditional donors.
4. **Responsibility for the Strategy:** The Strategy should reflect on the role and responsibility of DRD if it is to continue taking on this responsibility of overseeing the Strategy. Furthermore, this role should be met with increased and dedicated human resources to implement the Strategy and support staff worldwide.
5. **Addressing institutional processes:** DRD and the relevant units such as legal, finance and procurement should identify and address the institutional processes that may create obstacles to effective implementation of private sector engagement and agree on a timeline to address these proactively and systematically.

6. **Resource mobilisation:** Considerable efforts are required to facilitate the opportunities for resource mobilisation from private sector including advertising and marketing. These include:
 - a) Having more clarity on the areas of potential funding and ensuring that these are consistently applied throughout IOM.
 - b) Planning for funding appeals and campaigns should be developed to have a streamlined approach and effectively launch campaigns. These may be for humanitarian crises but could also be linked to other efforts undertaken at IOM such as the Global Migration Film Festival, or the IOM Development Fund as two examples.
 - c) Making the necessary adjusting on the IOM webpages to facilitate online donations such as increasing visibility throughout and facilitating the links to the donation platform.

7. **Planning and monitoring the implementation of the Strategy:** As IOM develops its implementation plan for Phase II, it should revisit the draft business and fundraising plans to determine what may still be relevant now and reflect the funding it has. In addition, a monitoring plan for the Strategy is required that can include the indicators that will be used to track the progress and include targets throughout the next two years. Monitoring should also include the quality of the engagement at all levels to ensure that IOM is addressing the needs of the private sector stakeholders. Several members of the PST who initially drafted the Strategy offered to continue supporting the Strategy implementation; this “reference” group may be a good mechanism for seeking validation of some of the processes and reviewing the implementation of the Strategy in a consistent manner.

8. **Areas to expand on for Phase II:** DRD should endeavour to prioritise establishing foundations for private sector engagement. This would include knowledge management, the finalisation and/or development of trainings and tools that can support staff. Some of the activities that could be considered:
 - a) Establishing a network in which information could be shared more easily;
 - b) Identifying knowledgeable staff in various Country Offices that could be used as a resource for others; and
 - c) Developing a training but ensuring that this is done in a participatory manner with relevant staff to ensure that various facets are included.

9. **Improving knowledge management and sharing:** IOM should consider the development of a CRM platform that can be used to share information to IOM staff more regularly and provide information access that can lead to further engagement. Furthermore, a mapping of the interests of potential and current partners may help to better target potential partnerships. IOM should also include a mechanism to monitor partnerships, check on their satisfaction and receive feedback to support more sustainable and long-term partnerships.

10. **Due diligence:** The due diligence process would benefit from a few adjusts to strengthen its current efforts:
 - a) Making the process more accessible to staff to avoid the potential risk of partnerships being agreed to prior to the due diligence taking place. In addition, the process should clearly lay out which partnerships would be susceptible to the due diligence process.
 - b) Identifying a mechanism of control at regional or Headquarters’ level to avoid partnerships proceeding that have not been processed.

c) Monitoring the implementation of agreed partnerships, potentially the high and very high risks partnerships, to determine how they are progressing and what, if anything, may have affected their implementation. This can in turn help to adjust the due diligence process if required.

11. **USA for IOM and IOM:** IOM and staff from USA for IOM need to develop concrete actions related to improving communication, collaboration and seeing how they can mutually benefit from each other given the similar objectives they share. However, it is equally important that separation of responsibilities exist in line with their respective mandates, particularly if there are legal ramifications of having actions performed by a non-profit for the Organization as a whole. Finally, both agencies should identify the areas of common interest for private sector fundraising to ensure that this is done smoothly and in full response of IOM's needs.

Annex 1 Terms of Reference

TERMS OF REFERENCE

IOM'S PRIVATE SECTOR PARTNERSHIP STRATEGY 2016-2020:

A THEMATIC EVALUATION

Background

Migration is a complex and broad area of work that is presently at the center of global attention. Today, more people than ever before live in a country other than the one in which they were born. People move for various reasons, ranging from the search for economic opportunities to escaping violent conflict, poverty, food insecurity, persecution, terrorism, human rights violations and abuses, or the adverse effects of climate change and natural disasters. It is increasingly apparent that many of these migration issues cannot be addressed in isolation and that the private sector can play an important role in facilitating orderly, safe, regular, and responsible migration and mobility.

The private sector is widely acknowledged as a key partner in development and has long been involved in emergency preparedness and response. The magnitude of humanitarian and development financing requirements far exceed the capacity of official development aid, which calls for tailored and sustainable partnerships between governments, international organizations, the private sector, and civil society. As a result, agencies are increasingly turning to the private sector as a partner to leverage and mobilize the required resources and knowledge, and to advance their strategic and operational capacity. In addition, the new development agenda for 2030 encourages multi-sectoral partnership to support the achievement of the sustainable development goals, which are reflected in IOM programmes. Finally, the importance of migration worldwide, IOM's growth in recent years and its expertise in both the humanitarian and development spheres have made the Organization increasingly appealing as a partner to the private sector, creating new opportunities for IOM.

In 2008, the Director General made strengthening private sector partnership an institutional priority for the IOM. In line with this decision, the IOM has increased its collaboration at Headquarters and in the field with private sector actors on a broad range of IOM activities, including humanitarian assistance, health, labour migration, research and counter-trafficking. The Organization has received, among others, technological, financial, and human resources support to save and improve the lives of those most affected by natural disasters and conflict, or those suffering from a lack of opportunity. IOM also partners with private sector actors to enhance its operational and strategic performance, as well as to gather data and to advocate for migration issues.

The collaboration with the private sector has been informed by the the Private Sector Partnership Strategy 2016–2020, which outlines the Organization's commitment to develop strategic partnerships to enhance knowledge, expertise, skills, and resources for the benefit of migrants and society. Specifically, the objectives of the IOM private sector engagement are to:

- Amplify key migration messages through advocacy and awareness raising;
- Develop solutions, approaches, and new technologies to enhance IOM's operational and strategic capacity and better assist migrants and societies;
- Mobilize financial and in-kind resources to support IOM activities and those it assists; and,
- Promote joint efforts to address migration-related opportunities and challenges that require engaging with the private sector.

The implementation of the Strategy, which began in 2016, is being carried out in two phases:

Phase 1: 2016 - 2017

During this period, the IOM will enhance its institutional readiness to engage effectively and systematically with the private sector in line with the Strategy. It will ensure that the Organization and key staff at Headquarters and in the field, have the executive support and basic knowledge, skills, and tools to reach out and engage with the private sector actors.

The key activities include:

- Communications strategy: IOM will strengthen its brand and visibility in key thematic areas to enhance the recognition of IOM among the general public.
- Development of guidelines and tools: IOM will develop a set of tools and guidelines to operationalize the Strategy and ensure coherent, effective, and efficient engagement with private sector actors.
- Training and roll out: To operationalize the Strategy and strengthen resource mobilization at the field level, IOM will identify and train key staff working on private sector engagement.

In addition, the IOM will strengthen its operational capacity in the four principal areas of the Strategy by recruiting essential expert staff for these areas and providing them with the basic means to engage with the private sector. The Organization will also support Regional Offices and Country Offices in implementing partnerships at the regional and local levels.

Phase 2: 2018-2020

Based on the strategic mid-term evaluation, the IOM will adapt the Strategy and its implementation accordingly for the second phase.

Objective of the Evaluation

The strategic mid-term evaluation of the IOM's Private Sector Partnership Strategy 2016-2020 is part of the IOM Donor Relation Division's (DRD) efforts to monitor its implementation. Paragraph 30 (f) of the Strategy specifies that, "The IOM Donor Relations Division will monitor the implementation of the Strategy and ensure that an evaluation will be carried out two years into its implementation. Revisions may be made to the Strategy based on this evaluation. Reporting on the Strategy will be part of IOM's organization-wide reporting." Hence, the overall objective of the evaluation is:

To evaluate the performance and achievements of IOM in implementing Phase 1 of the Strategy, examining the activities implemented across the four areas in an effort to enhance the Organization's institutional foundation and strengthen its operational capacity.

Being a mid-term evaluation, the report will assess the Strategy's outcomes during the first two years of its implementation, which will form the basis for potential adjustments and its continued implementation, as well as determine future funding.

Scope of the Evaluation

As presented in the background section, the IOM Private Sector Partnership Strategy 2016-2020 seeks to establish long-term partnerships with companies, foundations, associations, and individuals that leverage each partner's knowledge, expertise, skills, and resources in areas of common interest for the benefit of migrants and society. This evaluation will attempt to assess the performance and achievements of phase 1 with an in-depth review of existing

documentation and interviews with relevant staff at Headquarters and in the field, and also by undertaking an analysis of selected case studies, which will be decided in close collaboration with the DRD. Interviews with specific partners of the private sector will also be conducted.

The evaluation will answer the following questions:

Relevance

- Is the IOM's Private Sector Partnership Strategy 2016-2020 in line with the IOM's mandate, IOM institutional policies, Council resolutions and documents, and other related guidelines (i.e., the Guidelines on Cooperation between the United Nations and the Business Sector, the Ten Principles of the Global Compact, and the United Nations Guiding Principles on Business and Human Rights)?
- Do specific IOM policies and strategies facilitate a relevant use of the Strategy and properly address its institutionalization?
- Are the outcomes and indicators identified relevant to the Strategy and its four principal objectives?

Effectiveness

- How effective is the IOM in institutionalizing and implementing the Strategy?
- Does IOM and staff at Headquarters and field offices (regional and local level) have the executive support and basic skills, knowledge, and tools to reach out and engage with private sector actors?
- How globally effective has the IOM been in reaching the objectives of the Strategy and achieving the expected results?
- Did the implementation of the Strategy make an effective use of the human and financial resources available to reach the expected results?
- What are the major factors that will determine the extent to which the objectives of the Strategy will be achieved?
- Was the implementation of the Strategy during Phase 1 amended to provide the best value for money?
- Does the allocated funding correspond to the needs for implementing Phase 1 of the Strategy?

Efficiency

- Is the IOM effective in its ability to obtain the financial resources required for implementing the Strategy?
- Is the Strategy being implemented in a timely and cost-effective manner?
- Is the Strategy being implemented in the most efficient way compared to alternatives?

Outcome and Impact

- What is the outcome and/or expected impact of the Strategy on IOM as a lead agency on migration, and as a catalyst for resource mobilization for IOM activities?
- What can be concluded about the Strategy regarding the short- and medium-term impact on IOM's operational capacity in the four principal areas of the Strategy?
- What changes has the Strategy produced (directly or indirectly, intended or unintended) thus far?

Sustainability

- Is the Strategy including sufficient elements to guarantee the sustainability of partnerships created with private sector to ensure long-term financial and in-kind contributions and renewed experiences?

Methodology and Timeframe

The methodology for this strategic evaluation will mainly consist of an extensive documentation review and analysis. The DRD will provide the necessary documentation related to the implementation of the Strategy, as well as any documentation that can be considered relevant to the evaluation exercise.

The documentation review will mainly cover:

- Official documents prepared for internal and external use;
- Internal Strategy papers and guidelines;
- Strategy activity documents and related activity reports;
- Researches and evaluations on private sector contributions to IOM work
- External documentation from private sector actors, if available, referring to their collaboration with IOM; and,
- Any other relevant documentation on the Strategy.

Selected case studies with field visits by the evaluator and/or surveys will complement the documentation review. The case studies will be selected in consultation with the DRD.

Interviews will also be conducted with key IOM staff who have: a) managed and implemented activities related to the Strategy; b) been tasked to monitor the implementation of the Strategy; c) participated in discussions related to the implementation of the Strategy. Interviews with IOM Senior Staff at Headquarters and field offices (regional and local level) and with private sector partners will also be organized. The list of interviewees will be established in close collaboration with DRD.

The OIG will be responsible for the overall implementation of the evaluation exercise. The evaluation is expected to start in January 2018 and a draft report will be made available in April 2018 at the latest, with the finalization stage planned for the second quarter of 2018.

Annex 2: Documents Reviewed

#	Document
1	Alexion, A., Fischer, C. Private Sector Fundraising and Communication Plan for US Association for International Migration, June 13, 2017.
2	Dumitriu, Petru. "The United Nations System – Private Sector Partnerships Arrangements in the context of the 2030 Agenda for Sustainable Development" Joint Inspection Unit, Geneva 2017. https://www.unjiu.org/sites/www.unjiu.org/files/jiu_rep_2017_8_english.pdf
3	Global Compact for Migration. "Global Compact for Safe, Orderly and Regular Migration" Final Draft 11 July 2018. Accessed: https://refugeesmigrants.un.org/sites/default/files/180711_final_draft_0.pdf
4	IOM and USA for IOM. Draft Memorandum of Understanding between USA for IOM Organization and the International Organization for Migration.
5	IOM and USAIM. Donor agreement between USAIM and IOM Iraq. 2015
6	IOM and USAIM. Donor agreement between USAIM and IOM Malawi. 12 August 2016
7	IOM in the EU Member States, Norway and Switzerland Regional Strategy 2014-2020, 2013.
8	IOM Internal Regional Strategy for Central and North America and the Caribbean 217-2019, (draft).
9	IOM Pacific Strategy 2017-2020, 2017.
10	IOM. "Supplemental Input to the UN Secretary General's Report on the Global Compact for Safe, Orderly and Regular Migration: Actionable Commitments." October 2017. https://www.iom.int/sites/default/files/our_work/ODG/GCM/Input2-IOM-Actionable-Commitments-Final.pdf
11	IOM. Annex III of the Belgian unearmarked contribution 2016.
12	IOM. Council 103 rd session "Funding for the Core Structure: Budget-Strengthening Model- Proposal and Draft Resolution" 17 October 2013. MC/2389
13	IOM. Council 106 th Session IOM Private Sector Partnership Strategy 2016-2020, C/106/INF/16, 18 September 2015.
14	IOM. Council 106 th Session reference C/106/INF/16.
15	IOM. Council 108 th Session Financial Report for the Year ended 31 December 2016, C/108/3, 18 May 2017.
16	IOM. Council 108 th Session Financial Report for the Year ended 31 December 2016, Corrigendum in Appendices 7 and 8, C/108/3/Corr. 1, 12 June 2017.
17	IOM. Council 109 th Session Financial Report for the Year ended 31 December 2017, C/109/3, 29 May 2018.
18	IOM. Email correspondence shared with the evaluator on: UN Private Sector Forum, Presentations to the SCPF, call for proposal for the Private sector strategy grant and the World Economic Forum.
19	IOM. Implementation of IOM's Private Sector Partnership Strategy Interim Report to the Government of the Republic of Korea (for the period from 1 March 2017 to 31 January 2018), 2018.
20	IOM. Implementation of the IOM Private Sector Partnership Strategy – Budget Proposal 2018.
21	IOM. Implementation of the IOM Private Sector Partnership Strategy 2016-2020.
22	IOM. Implementation of the IOM's PSP Strategy: Update on Private Sector Expenditure 2017
23	IOM. IOM in Asia and the Pacific 2017-2020, 2017.
24	IOM. IOM Private Sector Partnership Highlights
25	IOM. IOM Regional Office in Vienna Guidelines for Fundraising with the Private Sector – Internal Working Document, October 2013.
26	IOM. Oficina Regional para América del Sur Estrategia Regional 2017-2020, September 2017.
27	IOM. Private Sector Annual report 2016 (short version), June 2017.
28	IOM. Private Sector Compendiums for 2016 and 2017
29	IOM. Private Sector Partnership Budget for 2017
30	IOM. Regional strategy 2017/2019 West and Central Africa Migration Governance and Sustainable Development.
31	IOM. Regional Strategy Regional Office for South-Eastern Europe, Eastern Europe and Central Asia, Vienna, March 2014.
32	IOM. Report on PSP 2016 (long version), June 2017.
33	IOM. Agenda and workshop reports for Private Sector meetings: 2014, January 2015, April 2015 and June 2015.

34	IOM. DDG Talking points and Presentation for SCFP 22 nd Session, June 2018.
35	IOM. Document comparing results frameworks for private sector
36	IOM. Draft Business Case for Counter Trafficking
37	IOM. Draft Business Case for Diversity and Inclusion
38	IOM. Draft Business case for ethical recruitment
39	IOM. Draft Business case for migration, environment and climate change
40	IOM. Due Diligence process documentation (accessible: https://intranetportal/Pages/ControlNo.aspx?controlNo=BI/DRD/000204) and examples of due diligence processes for several private sector companies.
41	IOM. Four year Private Sector Fundraising Plan, 2015.
42	IOM. Implementation of the IOM Private Sector Partnership Strategy 2016-2020 Business Plan, 5 October 2015.
43	IOM. IOM Middle East and North Africa Regional Strategy 2017-2020 Internal Document, 12 December 2016.
44	IOM. IOM Regional Strategy East and Horn of Africa 2016-2019.
45	IOM. IOM RO for Asia and the Pacific Asia and the Pacific Private Sector Donor Mapping Internal Document, April 2013
46	IOM. PowerPoint presentation from PSL DRD “Private Sector Fundraising Analysis of Sources and Results Achieved by UN and Other Not-for-profit Organizations” October, 2018.
47	IOM. Presentation for Chief of Mission Training on Private Sector
48	IOM. Presentation for the first webinar, November 2017; accessible: https://intranetportal/Pages/ControlNo.aspx?controlNo=PR/DRD/00003
49	IOM. Presentation on Private Sector in Naivasha, Kenya 2015
50	IOM. Private Sector Matrix Summary April 2013
51	IOM. Responses to the Institutional Questionnaire for 2017
52	IOM. Several examples of DG and DDG talking points for Private Sector outreach to private sector and donors (2016-2017)
53	IOM. Survey on IOM for the UN on business partnerships, 2015
54	UN Private Sector Forum 2016 New York https://www.unglobalcompact.org/docs/news_events/PSF2016/PSF2016Announcements.pdf
55	UN. 2018-2019 Workplan: UNSDG Private Sector Partnership Task Team
56	Un. GA Resolution adopted by the GA 64/223 Towards global partnerships, 64 th session 25 March 2010
57	UN. Guidelines on Cooperation between the UN and the Business Sector; accessed: http://www.un.org/ar/business/pdf/Guidelines_on_UN_Business_Cooperation.pdf
58	UN. Guiding Principles on Business and Human rights, UN human rights office of the high commissioner, 2011
59	UN.GA Resolution adopted by the GA 68/234 Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners, 68 th session 7 February 2014.
60	UNGA, Enhanced cooperation between the UN and all relevant partners, in particular the private sector, Report of the Secretary General. 66 th session, A/66/320, 23 August 2011
61	UNGA, Enhanced cooperation between the UN and all relevant partners, in particular the private sector, Report of the Secretary General. 66 th session, A/66/320, 23 August 2011
62	USA for IOM. Facebook Analytics Report for USA for IOM (Dec 1 2017 – June 30, 2018)
63	USA for IOM. Project Document Private Sector Fundraising and Communication Program in the United States.
64	USAIM. Award of Funding for USAIM-IOM Haiti project entitled “Facilitation of Circular Labour Migration of Haitian Seasonal Workers to the US under the H2 Visa Program”, 6 August 2014.
65	Weight, Della. “Report Private sector fundraising feasibility study” think consulting solutions, October 2012

Annex 3: List of people interviewed, and offices surveyed

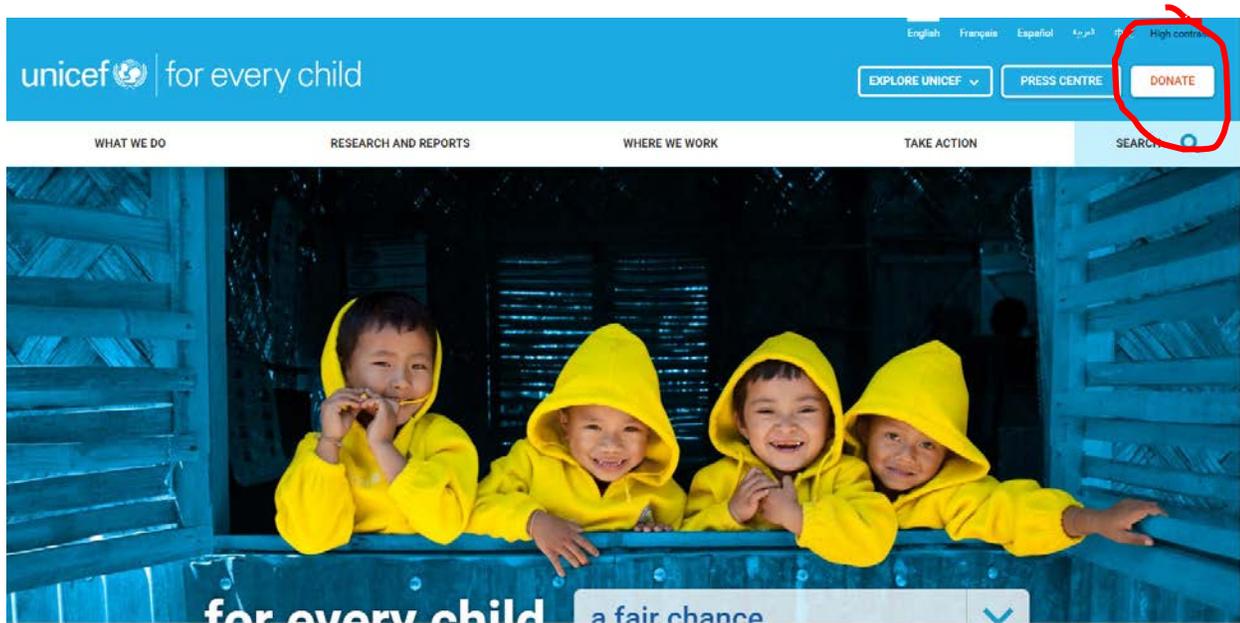
Interviews

Name	Position	Location
Alessia Castelfranco	Head of IOM Development Fund	Headquarters
Anh Nguyen	Head of Migrant Protection and Assistance	Headquarters
Argentina Szabados	Regional Director	Vienna
Asisé Mateo Gonzalez	Associate Migration Policy Officer (former project support unit in IOM Brussels)	Headquarters
Brian Kelly	Head, Community Stabilization Unit	Washington DC
Carmelo Godeau	Regional Director	Cairo
David Knight	Chief of Mission	Vietnam
Elizabeth Lizama	Communication and Social Media Assistant	Washington DC
Gene Dewey	USA for IOM Board Member	Washington DC
Gregoire Goodstein	Head of the Donor Relations Department	Headquarters
Irene Pasini	Programme Coordinator	Morocco
Jeff Labovitz	Regional Director	Nairobi
Jill Helke	Director, International Cooperation and Partnerships	Headquarters
Jim Purcell	USA for IOM Board Member	Washington DC
Joe Appiah	Director, Department of Resource Management	Headquarters
Johan Rautenbach	Director, Office of Legal Affairs	Headquarters
Lara White	Senior Labour Migration Specialist	Bangkok
Laura Thompson	Deputy Director General	Headquarters
Leonard Doyle	Head, Media and Communication Division	Headquarters
Lindsay Michiels	Global Partnerships Officer	Headquarters
Luca Dall'Oglio	Chief of Mission and CEO USA for IOM	Washington DC
Marcelo Pisani	Regional Director	San Jose
Maria Moreno	External Relations Liaison USA for IOM	Washington DC
Miah Park	Chief of Mission	Republic of Korea
Michael Newson	Regional Labour Migration Development Specialist	RO Vienna
Michela Martini	Regional Migration Health Specialist	Nairobi
Mohamed Abdiker	Director, Department of Operations and Emergencies	Headquarters
Monica Goracci	Chief of Mission	Berlin
Nenette Motus	Regional Director	Bangkok
Patrice Quesada	Regional Thematic Specialist, DOE	Brussels
Pawel Szalus	IRIS Programme Manager	Headquarters
Rachel Sanchez	Donor Liaison Assistant	Washington DC
Renata Held	Director, Department of Migration Management	Headquarters
Richard Danzinger	Regional Director	Dakar
Richard Leach	President and CEO of WFP USA	WFP USA
Robert Paiva	USA for IOM Board Member	Washington DC
Rudi Maxwald	Private Sector Partnerships Officer	Headquarters
Tolu Olubunmi	USA for IOM Board Member	Washington DC
Vlatko Angelovski	IT Officer	Headquarters
Yuko Hamada	Senior Partnerships and Migration Officer	Washington DC

Surveys

Country	Type of Office
Belgium / Luxemburg	Country Office
China	Country Office
Colombia	Country Office
Costa Rica	Country Office
Dominican Republic	Country Office
Egypt	Country Office
Egypt	Regional Office
Finland	Country Office
Gambia	Country Office
Haiti	Country Office
HQ Department	Headquarters
Italy	Country Office
Japan	Country Office
Laos	Country Office
Maldives	Country Office
Mongolia	Country Office
Nicaragua	Country Office
Niger	Country Office
Romania	Country Office
Rwanda	Country Office
Sierre Leone	Country Office
South Africa	Regional Office
Sudan	Country Office
Thailand	Country Office
Thailand	Regional Office
Turkey	Country Office
United Kingdom	Country Office
Vanuatu	Country Office

Annex 4: Website examples from four agencies



WFP World Food Programme

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Turn the Tide: Refugee Education in Crisis study finds refugee enrolment in school is failing to keep pace with growing displacement worldwide.

view story