Evaluation of Results-Based Management at IOM

ACKNOWLEDGEMENTS

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LIST OF ACRONYMS

AAP	Accountability to Affected Populations
CoM	Chief of Mission
CSO	Civil Society Organization
CO	Country Office
DI	Disability Inclusion
DPP	Department of Strategic Planning and Organizational Performance
DRD	Donor Relations Division
ECHO	European Community Humanitarian Aid Office
ERP	Enterprise Resource Planning
GCM	Global Compact for Migration
GE	Gender Equality
GEEW	Gender Equality and the Empowerment of Women
HDPN	Humanitarian Development Peace Nexus
HR	Human Resources
HRBA	Human Rights-Based Approach
IFRC	International Federation of Red Cross and Red Crescent Societies
IDP	Internally Displaced Person
IKM	Innovation and Knowledge Management
IGF	Internal Governance Framework
IQ	Institutional Questionnaire
JIU	Joint Inspection Unit
KII	Key Informant Interview
KM	Knowledge Management
MiGOF	The Migration Governance Framework
MIRAC	Migration Resource Allocation Committee
MSIU	Mission Support and Innovation Unit
OEE	Organizational Efficiency and Effectiveness
PRIMA	Project Information and Management Application
RBB	Results-Based Budgeting
RBM	Results-Based Management
RO	Regional Office
ROMEO	Regional Monitoring and Evaluation Officer
RPDO	Regional Project Development Officer
RTS	Regional Thematic Specialist
SDG	Sustainable Development Goals
SP	Strategic Plan
SRF	Strategic Results Framework
ToC	Theory of Change
ToR	Terms of Reference
UNEG	United Nations Evaluation Group
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNSDF	United Nations Sustainable Development Framework
UNSPN	UN Strategic Planning Network
QCPR	Quadrennial Comprehensive Policy Review

EXECUTIVE SUMMARY

The report documents the findings of an external evaluation of the International Organization for Migration (IOM) Results-Based Management (RBM) approach. The evaluation covered the period of the RBM roadmap 2022-2023, also considering IOM's efforts in implementing RBM since 2016.

The evaluators conducted four case studies, a benchmarking analysis and followed the Joint Inspection Unit (JIU) framework to respond to evaluation questions. Data was collected through key informant interviews, online surveys, and a desk review, triangulated for the purpose of producing evidence-based findings, conclusions, and recommendations.

Findings

The summarized findings below are grouped under the following areas, in line with the JIU framework: Strategic Management; Operational Management; Accountability and Learning; Change Management, and Institutional Integration of the Strategic Results Framework (SRF).

Strategic Management

Key finding 1: IOM has not been guided during the period covered by the evaluation by a detailed corporate strategy for mainstreaming RBM, but elements for RBM institutionalization are included in the RBM roadmap 2022-2023 and in some strategic documents, such as the Strategic Vision 2019-2023.

Key finding 2: The Organization is currently in the process of setting up the accountability framework for the effective integration of RBM. Relevant steps have been taken in that regard including: (i) the establishment of a dedicated RBM Unit within the Department of Strategic Planning and Organizational Performance (DPP) in 2023; and (ii) the transfer of the monitoring function to the RBM Unit from IOM Central Evaluation Unit (EVA). The Organization has not yet issued an official document to define RBM roles and responsibilities within IOM.

Key finding 3: IOM has developed a corporate SRF to guide IOM's work and operationalize its Strategic Vision. The SRF was prepared with the participation of relevant stakeholders at global, regional, and country levels, so as to enhance ownership and commitment. Despite showing the logical linkages and alignment between long-term and medium-term objectives, the SRF is not supported by a full-fledged Theory of Change (ToC) and does not elaborate on financial resources and management necessary for implementation (for instance about Results Based Budgeting – RBB).

Operational Management

Key finding 4: The RBM Unit has led the consultative process of setting up programmatic indicators for the SRF, to be used as results measurement systems at both strategic and operational levels. Over a hundred programmatic indicators defined at the short-term outcome level limit the effective integration and use of the framework and related set of indicators. However, the Organization has already started mainstreaming results-based management principles into performance expectations for programmes/projects and current IOM´s Project Handbook complies with most of the conditions set in the JIU framework for the set-up of an effective results-based management. Further guidance on their operationalization could be provided in the revised Monitoring Policy and Project Handbook[1].

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[1] Both documents are currently in the process of being amended.

Key finding 5: The SRF contains a section on cross-cutting themes, but no indicator metadata and related reference sheets[2] have been developed to comprehend the relevance of the related indicators. The same lacuna applies to programmatic and Organizational Efficiency and Effectiveness (OEE) indicators. More than half of the cross-cutting indicators are not SMART (i.e., specific, measurable, achievable, realistic and timebound).

Key finding 6: The Organization has not yet fully developed the process for Results-Based Budgeting (RBB), having outputs as measurement unit in most of the cases. There is a clear understanding of how the SRF should factor into the budgeting decisions but as of yet, there is not enough data to fully embrace the RBB approach. However, there exists the capability for RBB at project level.

Key finding 7: In terms of human resources and while funding for RBM staff has considerably increased in the past two years, limited funding is made available to establish similar positions at the regional and country levels. So far, the use of the SRF as a performance appraisal management tool has been piloted in the Regional Office (RO) for East and Horn of Africa (EHoA) only.

Key finding 8: Regarding the cost-effectiveness of integrating the RBM approach, the RBM Unit has achieved considerable results by developing the SRF, gaining institutional buy-in, and integrating the SRF into Project Information and Management Application (PRIMA) with rather limited investments. As of 2023, the RBM Unit has increased its budget by a factor of seven in comparison to 2018 and consequently, the expectations regarding achievements are significantly higher.

Accountability and learning

Key finding 9: The Monitoring and Evaluation (M&E) system incorporates key quantitative and qualitative indicators (SRF indicators) to track progress towards the achievement of SRF outcomes. The system facilitates the gathering of data on the successes and/or failures of the implementation and is fully integrated and costed as part of the implementation activities. The monitoring functions are supported by specialized M&E personnel.

Key finding 10: The lack of baseline data and targets represents a clear limitation towards performance monitoring and RBB implementation, hence, their gradual implementation over the upcoming years. There is no M&E operational work plan for SRF indicators as such, indicating activities, responsibilities, timeframes, and costs, and the periodicity of data collection. Data collection for SRF indicators has started, but an institutional document with well-defined roles and responsibilities has not yet been developed.

Key finding 11: Results reporting at the global institutional level is provided through the Annual Report presented by IOM Director General (DG) to Governing Bodies, including key information on IOM operations and activities, institutional development, and organizational effectiveness. Despite being developed to present overarching organizational results, the scope of reporting is more focused on activities and outputs, and limited information is provided on the outcomes and measured impacts. The report does not either provide an analysis of planned/expected results and actual results against baselines and targets.

Key finding 12: PRIMA is used for the design, implementation, and performance measurement of all IOM projects. As a management information system, it provides data at corporate and programmatic levels. At this stage, the focus is on testing and ensuring accessibility and linkages between

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[2] Metadata for indicators typically include the definition, rationale, calculation method, level of disaggregation, data collection and analysis methods, responsibilities, and limitations of each one of the indicators included in a results framework. Guidelines on metadata are in development.

projects/programmes and the SRF outcomes and indicators. For the collection of institutional results, PRIMA complements the Institutional Questionnaire (IQ) currently gathering data on the SRF indicators for the Annual Report. The IQ is not necessarily the most reliable tool as it depends on qualitative data provided by IOM country office staff, also representing a considerable workload.

Change management

Key finding 13: Several initiatives have been implemented to establish a change management framework, such as defining RBM goals and actions and prioritizing mechanisms that focus on the development of a RBM culture, to reinforce the skills, knowledge and behavior required to mainstream RBM, issuing a number of communication documents, and to identify RBM champions. Nonetheless, IOM does not properly define mid and long-term goals for change with related benefits, outcomes, and indicators to track the progress towards achievement.

Key finding 14: IOM is integrating RBM in several of its staff training initiatives and the RBM Unit has issued a series of documents and templates to guide the integration process. However, rollout package with guidance on how to apply RBM at the different levels has not been prepared, although expected to be included in the revision of IOM´s Project Handbook. A limited institutional knowledge management system is in place.

Key finding 15: RBM experienced a considerable push forward since 2018, revealing the commitment of IOM's leadership towards using RBM evidence for management and decision making, including at both regional and country office levels. Some limiting factors can be found in the legitimacy of the RBM Unit to push the RBM agenda and the attention given to the network of champions.

Key finding 16: The establishment of the DPP is considered effective for boosting coordination among the IOM Headquarters (HQ) departments playing a role in RBM mainstreaming and in providing support to RBM at all levels. At the regional level, the RBM Unit has taken a lead role in the coordination of activities, with some improvements still needed with the regional thematic specialists (RTS). At the country level, there is no standard 'entry point' for integration of RBM and the support can be provided by dedicated staff working in project development for instance, or by the set-up of specific units such as the Mission Support and Innovation Unit (MSIU), responsible to coordinate the integration of the SRF and the overall RBM approach with the RO.

Key finding 17: Regarding external coherence, the RBM Unit has represented IOM in the UN Strategic Planning Network (UNSPN) since 2017, which has been a good knowledge base for crafting RBM framework, the participation however not being constant. The main challenges for reporting to UN frameworks are the short-term nature of the majority of IOM interventions and IOM's donor driven reporting practice.

Institutional Integration of the SRF

Key finding 18: The process of designing and piloting the integration of the SRF into regional strategies has been consultative and guided by the Executive Office and the RBM Unit. The work for aligning the regional strategies to the Strategic Vision started before the SRF's finalization, using an initial roll-out package of the SRF as a guide, without indicators. The integration of the SRF programmatic indicators was pioneered by the IOM Development Fund at the project level, the main challenge being the identification of best-fit indicators aligned to other existing projects results frameworks.

Key finding 19: Using PRIMA for the integration of the SRF at project level is expected to strengthen RBM approach, also allowing aggregation of results for corporate reporting. Staff acknowledge the benefits of PRIMA and the usefulness of the tools developed (SRF wizard, wheel and dashboard).

However, PRIMA is not a tool for analytical analysis of qualitative information but for compiling monitoring data and results. As mentioned in the previous finding, limited understanding of SRF indicators and their integration into projects can impede the organization-wide use of the SRF.

Conclusions

Overall, IOM has taken important steps towards integrating RBM at all organizational levels, including the ongoing development of a comprehensive RBM strategy. The new Strategic Vision and Strategic Planning cycle to be prepared for the period 2024-2028 offers an opportunity to ensure continuity with the RBM strategy and sustained senior leadership support to the implementation of RBM approach. However, roles and responsibilities for RBM implementation must be better defined, with a comprehensive change framework to track progress towards the achievement of RBM goals. Groundwork for an effective RBB in IOM has been laid, but significant work remains to be done.

Despite efforts made towards facilitating the integration of the SRF into projects and programmes, its operationalization remains a challenge given the high number of indicators and the lack of a comprehensive ToC that elaborates on how related changes are about to happen. However, initiatives to develop RBM capacities start to pay off as IOM staff expressed a reasonable agreement of their preparedness and readiness to implement RBM. This can support IOM's transition from an activity-focused mindset to one that is results-oriented. IOM's funding architecture relies heavily on earmarked funding, which impedes Organization's ability to flexibly align resources with strategic plans and institutional priorities. The institutional commitment towards RBM has considerably increased since 2018 but predictable multi-year funding for RBM implementation is still needed.

Recommendations

Four recommendations are proposed, as follows:

Recommendation 1: Continue supporting RBM strategic management through:

- **The finalization of the RBM strategy**, with a mid and long-term view that reflects the results of the roll out process and contributes to strengthening the relevance and adaptability of the SRF. In addition, developing an RBM policy, also covering results-based monitoring, evaluation, and knowledge should be considered, which will consolidate RBM integration at the highest strategic levels.

- **The development of a change management strategy**, to keep track of the achievements of the integration of RBM. UNFPA´s 3+5 model in combination with the Joint Inspection Unit (JIU) framework could be used as basis for development, to include SMART indicators, baselines, and targets. It should be used as a self-assessment model that can be applied to all levels, i.e., global, regional and country.

- **The anchoring of the SRF as the IOM institutional results framework** adapted to IOM five-year Strategic Vision (as it may be updated) to ensure a clear direction of RBM efforts towards the integration of the SRF for measuring Organization's results achievement.

Recommendation 2: Enhance operational management through**:**

- **The development of a Theory of Change (ToC) for the SRF** to enhance the understanding of the changes brought by the SRF in the implementation of IOM´s corporate strategy and its related

priorities. The ToC should also reflect the linkages between various IOM key strategies, frameworks, expected results and resources required, including the sources of financing.

- **The finalization of the guidance on indicator metadata for SRF** to enhance a shared understanding of SRF indicators. It will increase the reliability of data collection during the organization-wide roll out process. It could be accompanied by the issuance of a monitoring and evaluation plan for the roll out of the SRF, indicating key activities, responsibilities, timeframes, costs, and the periodicity of data collection and reporting.

- **The prioritization of SRF indicators** in line with the current Tier System and based on the results of the pilot phase of SRF integration. The IQ preparation should be simplified as a result of SRF integration in PRIMA and used as complementary data collection and validation tool for specific areas, providing qualitative data to supplement quantitative data collected through PRIMA.

- **The gathering of baseline information to set targets for the SRF**, which will enhance results-based reporting for the Annual Report among other reporting needs.

Recommendation 3: Strengthen the organizational accountability and learning through**:**

- **An instruction making mandatory the compliance with PRIMA monitoring module** and identifying related capacity development needs to support it.

- **The enhancement of PRIMA user experience** and depth of information provided. This could involve various initiatives, such as populating fields automatically where possible to streamline the indicator-feeding process, incorporating open-ended fields to capture good practices and innovative approaches identified during the project cycle, which could eventually be complemented with the qualitative data gathered through the IQ.

- **The development of a guidance package for the integration of RBM approach** within the Organization, including RBM roles and responsibilities in line with what will also be defined in the current revision of the IOM's Project Handbook about project development and management.

- **The centrality of knowledge management in the integration of RBM and the SRF** by strengthening collaboration between the RBM and the Innovation and Knowledge Management (IKM) Units, for instance in maximizing the potential of the Policy Exchange and Learning on Migration (POEM) platform[3] and the use of PRIMA dashboards, and in creating a community of practice to foster an RBM culture.

Recommendation 4: Enhance capacity and engagement towards RBM through**:**

- **A strengthened role and influence of the RBM Unit in the UNSPN** by consolidating its proactive approach and sharing of IOM's experience with other UN agencies.

- **The development of a network of RBM focal points and champions** while exploring the possibility to allocate additional core funding to support RBM roles and ownership at the regional and country levels, and to offer relevant training on the integration of RBM and the SRF.

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[3] https://www.youtube.com/watch?v=9v23Bn7zOGs&ab_channel=IOM-UNMigration

1. BACKGROUND

The report presents the findings of the external evaluation of the IOM RBM approach. The evaluation was carried out by Artival Research & Evaluation from October 2022 to May 2023, mandated by IOM Central Evaluation Unit (EVA) in the framework of the implementation of its biennial evaluation plan 2021-2022. The RBM Unit of the Department of Strategic Planning and Organizational Performance (DPP) and IOM Executive Office were part of the reference group, preparing documentation, reviewing the evaluation deliverables, and providing comments throughout all stages of evaluation.

Evaluation context

United Nations (UN) system organizations have been implementing RBM since 2002 and its mainstreaming has been progressing well, but with variations within the organizations as noted by the JIU in the 2017 review. The IOM in its Strategic Vision 2019-2023, set out the need to establish a comprehensive, interactive, and forward-looking knowledge framework and system to become a "learning organization". Such mechanisms aim at the improvement of efficiency, effectiveness, optimal use of core resources, and an important piece of its implementation is RBM, shifting from activity-based to results-based management, including RBB.

The IOM embarked on a comprehensive RBM approach with the release of the IOM Project Handbook in 2011 and its subsequent revision of 2017. A key milestone for its operational set-up was the introduction of PRIMA in 2015 and more recently, the development of the SRF in 2019. PRIMA is an institutional project repository tool that captures and compiles project-related data and enables project data visualization through the utilization of dashboards. PRIMA not only supports the implementation of IOM project development and management policies, but also provides a platform for the Organization's Knowledge Management (KM) and reporting efforts and facilitates the planning of decentralized evaluations. All IOM projects are registered in PRIMA and consequently approved or endorsed through the system and follow different results frameworks prior to being submitted to the donor. In 2019, the Multilateral Organization Performance Assessment Network (MOPAN) review of IOM[4] noted improvements in RBM but recommended to build a more rigorous results system closely linked to the development of a clear strategic vision and a revised operating model.

The 'new generation' of RBM initiatives implemented since 2020 is tackling the improvement of (i) IOM's strategic capacity to streamline decision-making and results-focused planning and management, (ii) Institutional results-based reporting to strengthen the narrative on IOM's comparative advantage and impact worldwide, and (iii) RBM capacities and culture among staff. The RBM Roadmap 2022-2023 offers an illustration of these strategic moves and expectations for the implementation of a comprehensive RBM strategy.

Evaluation objective and scope

In line with the Terms of Reference (ToR) of the evaluation (Annex 11), the overall objective was to assess the implementation of RBM initiatives and the extent to which the RBM approach has created a results culture within the Organization, improved decision making and strengthened IOM overall performance and accountability to achieve its strategic objectives.

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[4] The Multilateral Organization Performance Assessment Network (MOPAN) was launched in 2002 as a network of like-minded donor countries for monitoring the performance of multilateral development organizations at the country level. All members have a common interest in knowing more about the effectiveness of multilateral organizations, through joint assessments of these organizations, exchange of information and expertise in monitoring and evaluation. Website: https://www.mopanonline.org/home/

The evaluation was built on the conceptual framework proposed in the ToR and guided by a set of evaluation questions focusing on the OECD/DAC criteria of relevance, coherence, effectiveness, and efficiency (Annex 1). It also includes an analysis of the integration of IOM cross cutting themes of gender, disability, accountability to affected populations, environment and human rights-based approaches in the strategic papers and guidance related to RBM, whenever applicable. It was considered that the other commonly applied criteria of impact and sustainability were not relevant as the IOM RBM approach is not yet fully implemented. The evaluation could however identify areas where RBM impact could be measured and influence strategic approaches and decision making.

The evaluation was expected to assess key opportunities and limitations of IOM´s work related to RBM and to suggest the most appropriate approaches and corrective measures to maximize IOM´s delivery of results. The exercise also identified good practices, lessons learned and recommendations to inform the preparation of the next Strategic Vision (2024-2028) with integration of a strong RBM approach.

The intended users of the evaluation are as follows:

Table 1. Evaluation intended users and intended use

USER	DESIGNATION	INTENDED USE
PRIMARY	**IOM**: Senior management, Department of Strategic Planning and Organizational Performance (DPP), RBM Unit, IOM Central Evaluation (EVA), HQ Management at all levels. Staff involved in the institutional and operational implementation of RBM at HQ, ROs and Country offices (CO).	Improve RBM design and implementation, as well as the sustainability of achievements. Accountability and learning.
	Donors / Member States, with a focus on those who underline the need of a strong RBM in IOM for their funding, such as EU, The Netherlands, UK and USA.	Accountability and learning
	IOM partners: Governments (National committees and Ministries) Civil society organizations (CSOs) UN organizations and other International Non-Governmental Organizations (NGOs) IOM Implementing partners	Improve implementation and resource management. Accountability and learning, decision-making and engagement.
SECONDARY	**Rightsholders**/direct and indirect beneficiaries	Accountability
	Secondary partners: Opinion leaders/champions Other organizations working with migrants Other stakeholders: international donors, NGOs	Organizational learning/development

Methodology

The evaluation was both formative and summative. It was utilization focused and offered an opportunity to key stakeholders to document progress towards RBM set-up and to take stock of what is needed for the implementation of future RBM strategies and frameworks.

The evaluation was participatory, engaging primary users into the evaluation process both at consultative and decision-making levels. A comprehensive directory of all relevant stakeholders for this evaluation was finetuned during the inception phase.

The analysis was guided by the JIU framework and its four management areas: i) Strategic management, ii) Operational management, iii) Accountability and learning, and iv) Change management (see the summary table of JIU components in Annex 11).

To illustrate how IOM's RBM approach works and the cause-effect linkages towards contributing to changes in IOM, the evaluation developed a ToC explaining how the overall RBM initiatives are supposed to work (Annex 2).

Data Collection Methods

To ensure methodological robustness and triangulation of data, the evaluation combines the following approaches.

The evaluation team obtained both quantitative and qualitative data and compared them to establish convergences, divergences, or a combination of both, to obtain key findings and evidence.[5]

The methodological approach also considered the triangulation of primary and secondary sources of data and information, and strived to fill eventual information gaps, non-updated or unreliable information. Available data was complemented with individual perspectives captured through semi-structured key informant interviews and online surveys.

The analysis also paid attention to IOM common cross-cutting issues of Gender Equality (GE), Human Rights-Based Approach, Disability Inclusion, Accountability to Affected Populations and Environmental Sustainability. Table 2 below summarizes the methodological approaches and data gathering techniques:

Table 2. Methodological strategies

METHODOLOGICAL STRATEGIES	RESEARCH TECHNIQUES	DATA GATHERING TOOLS	
Qualitative strategies (Content analysis)	Desk review (primary & secondary data); Semi-structured interviews; Benchmarking exercise.	KII protocols; Key documents, platforms and online repositories; Review notes; Case studies notes.	
Quantitative strategies (Descriptive statistical analysis)	Desk research (primary & secondary data); Online survey	Key documents, platforms and online repositories; Review notes; Questionnaires.	
METHODS	**DESCRIPTION**	**NUMBER**	**ADDRESSEE**
Document review	In-depth review of relevant internal and external RBM related documentation.	N/A	N/A

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[5] Quantitative data provide statistical trends, whilst qualitative data provide hypothesis of inquiry, explanations and nuances to document the quantitative trends.

METHODOLOGICAL STRATEGIES		RESEARCH TECHNIQUES	DATA GATHERING TOOLS
Semi-structured interviews	The evaluation team conducted individual and group interviews with selected stakeholders	38 interviews were conducted with 39 selected stakeholders.	IOM Management, IOM staff involved in institutional and operational implementation of RBM initiatives; Implementing and other partners. Member States, donors, governmental bodies, CSOs, UN and other stakeholders.
Online survey	The evaluation team launched an online survey to crosscheck and/or confirm qualitative findings of the interviews.	1 survey targeting IOM staff. 177 informants reached.	IOM Management, IOM staff involved in institutional and operational implementation of RBM initiatives, etc.

To illustrate the processes, experiences and good practices that can be learned from IOM RBM initiatives, four case studies were carried out. Two of them focused on the extent to which the SRF operationalized IOM´s Strategic Vision and has been applied in regional and country strategies. The third case study put focus on the current system of feeding SRF indicators globally, the Institutional Questionnaire (IQ). Finally, the fourth case study analysed the tools available to guide the inclusion of RBM in IOM projects, PRIMA, and the SRF.

The desk review included internal and external documentation, and of primary and secondary data sources. Internal documentation focused on IOM RBM related documents and IOM strategic and sectoral documentation. External documentation included documents from other UN agencies and international institutions, as well as academic literature and manuals on RBM.

Key Informant Interviews (KII) have been essential in the conduct of the assessment and allowed the collection of views and opinions of different internal and external stakeholders. The interviews were guided by protocols based on the evaluation questions and the type of informant interviewed. The full list of interviewees is available in Annex 10.

An online survey was designed to complement qualitative data collected through desk reviews and KII and to produce quantitative information about the perceptions and views of IOM staff surveyed. To increase the likelihood that informants would complete the questionnaires, the survey was kept as short as possible.

A benchmarking exercise (Annex 3) provided inputs on the development of RBM in other UN agencies and relevant organizations, in addition to the review of the JIU benchmarking report already mentioned. The four organizations selected for the exercise are:

- **United Nations Population Fund (UNFPA):** the Fund has obtained the highest score under RBM section of the latest MOPAN assessment[6], and the consulting team has recently assessed its RBM structure and implementation in the region of Asia & the Pacific.
- **United Nations High Commissioner for Refugees (UNHCR)**: The organization has been implementing the RBM approach since 2006 and has a close working relationship with IOM.
- **The World Food Programme (WFP)**: The Programme adopted RBM in 1999, and in 2003 it established an RBM unit. It is a main actor in the UN humanitarian responses.

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[6] MOPAN 29017-2018 Assessment UNFPA. https://www.mopanonline.org/assessments/unfpa2017-18/UNFPAper cent20Report.pdf

- **The International Federation of Red Cross and Red Crescent Societies (IFRC)**: The Federation is not part of the UN and has been selected for that reason. It also has a strong M&E approach.

Finally, the JIU Framework has been used to structure the analysis with the RBM pillars considered in its report. A total of 15 JIU components have been assessed.

Sampling strategy

The evaluation employed a purposive sampling technique, which fitted well the qualitative focus of the evaluation. For the case studies, the selection was guided by the following criteria:

- The length and significance of RBM efforts.
- Type of interventions and context in which IOM operates (simple, complicated, complex).
- Focus on how the SRF is used for planning, monitoring, reporting, and PRIMA integration.
- Implementation of RBM approaches in both development and humanitarian settings; and
- Accessibility of key informants and data availability.

The following case studies have been conducted (Annexes 4, 5 and 6):

Case study 1: **Application of the SRF in the Costa Rican Country Strategy.** One of the main questions that the evaluation addresses is the extent to which RBM is coherently understood and implemented internally, and how is this reflected in the logical flow of the Country Strategy using the SRF and IQ. Since Costa Rica also hosts a Regional Office (RO for Central America, North America, and the Caribbean - CNAC), the interactions between the country and regional offices for the integration of the SRF was considered.

Case study 2: Application of the SRF in the East and Horn of Africa (EHoA) Regional Strategy. The focus was placed at the regional level to understand the extent of RBM implementation in that region.

Case study 3: The integration of results across COs, ROs, IOM Administrative Centres and HQ. IQ plays a critical role towards effectively coordinating IOM global efforts, collecting information to enable decision making on policy and the Organization's future direction. The case study analysed the IQ structure and whether it supports the implementation of RBM and reinforces RBM culture in the Organization.

Case study 4: The use of existing information systems towards implementing the RBM approach – The case of PRIMA and the integration of the SRF. As part of the roll-out of the SRF, PRIMA is expected to integrate and collect data to feed the SRF indicators globally. The case study analysed the current situation, limitations, and opportunities in using PRIMA.

Regarding the sampling of key informants, the primary and secondary users included representatives from IOM Management, IOM staff involved in institutional and operational implementation of RBM initiatives, and other ROs and COs staff including technical staff such as M&E, advocacy and communication specialists. Partners (UN agencies, CSOs, donors etc.) were also included.

Risks and mitigation measures

The following risks and limitations have been identified, with corresponding mitigation measures:

Table 3: Potential risk for the evaluation and mitigation strategies

RISK/LIMITATION	EXPLANATION	MITIGATING STRATEGY
Delays in receiving data/feedback	Delayed feedback from relevant stakeholders required the consultants to monitor the situation and provide adequate timeframe to obtain feedback.	The consultants proposed a specific period to consolidate feedback during the different stages of the consultancy, working closely with the evaluation manager to reschedule key milestones as required.
Incomplete datasets	The consultants reviewed documentation including strategic documents and operational reports, monitoring data, evaluation reports and other relevant materials. However, there were cases of limited information and data for some of the priorities, particularly disaggregated data.	The consultants informed the evaluation manager about the missing data or documentation required, and the assessment reflects remaining gaps while being flexible enough to cover them through other inquiry strategies and/or questions.
Limited staff participation in survey	The survey did not receive enough responses.	The tool chosen for the surveys was managed by IOM, and follow-up of individual responses was carried out by the evaluation manager, as well as the launching of personalized reminders.
Weak evidence	Key informants did not provide information that would significantly illuminate evaluation questions and sub-questions	The consultants worked with the evaluation RG to adjust the KII list, including secondary informants to correct the weakness.

2. EVALUATION FINDINGS

The evaluation findings are grouped under four areas corresponding to the JIU components of Strategic Management; Operational Management; Accountability and Learning; Change Management; and a sub-section covering Institutional Integration of the SRF.

Strategic Management

This section analyses the extent to which the strategic management of IOM´s RBM approach is fit for purpose, using the components considered under the JIU framework. The JIU framework defines strategic management as the vision and strategic framework guiding the adoption of RBM as a management strategy for achievement of results. This also includes having a change-management as well as an appropriate accountability framework for implementing RBM.

> ➤ *Are IOM's RBM strategies, systems and approach aligned to JIU standards?*

JIU Component: Results Based Management Strategy

An integrated RBM strategy in the process of being developed: The existing strategy for mainstreaming RBM is limited to some components of the RBM system, with elements of a strategy existing in different strategic documents. The process of development of a comprehensive strategy is emergent and incremental.

This component examines the extent to which a comprehensive and holistic conceptual strategy for RBM is in place and if there exists an internal commitment to implement it.

IOM has initiated the institutional shift toward integrating RBM methodology for more than a decade now. In 2011 the IOM Project Handbook was launched, incorporating clear guidelines for designing, planning, implementing, monitoring, and evaluating initiatives following an RBM approach. In 2016, IOM introduced internal and external frameworks that guided the Organization towards results-based reporting at the corporate level, the IQ and the OEE survey. The IQ was designed for IOM Annual Reporting to the Governing Bodies while the OEE was designed as an internal performance framework to demonstrate how IOM is making efforts to increase it levels of operational efficiency and effectiveness to reach its goals.

In 2019, the DG presented its Strategic Vision (2019-2023) to IOM Member States, which sets out a series of strategic goals outlining what IOM should be in 2023, three overarching priorities for IOM's work, and enablers for success[7]. The document clearly reflects the commitment of IOM´s leadership towards RBM and its strengthening in the Organization.

The IOM has not yet issued a standalone RBM policy or strategy mainly due to limited core budget and challenges in reaching consensual views on migration issues and related results, and despite having been heavily considered since 2019 as per MOPAN recommendations[8]. However, the RBM approach has been highlighted in other relevant strategic documents and policies, such as the Monitoring policy, the Evaluation policy, the M&E strategy 2021-23, the Internal Governance Framework (IGF) as a part of a more comprehensive organizational reform strategy and the SRF. A draft RBM strategy is in the process of being finalized.

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[7] IOM RBM unit "Narrative on IOM´s strategic planning", 2022
[8] As stated in the MOPAN 2017-18 Assessment for the IOM, page 101

The RBM Unit has also produced two RBM roadmap documents, for the period 2019-2021 and another one for the period 2022-2023. The documents outline the institutional approach to strengthen RBM within IOM and establish key goals, actions, and crosscutting considerations. The 2022-2023 Roadmap also outlines key challenges and opportunities for its operationalization, although no specific mention of required resource allocation is presented. Results are clearly established within a two-year period, but the roadmaps do not consider key indicators of achievement. Additionally, the document reflects on the main RBM initiatives[9] to be implemented and links them with other organizational reform processes (such as the budget reform and IGF).

An outline of the RBM Roadmap 2022-2023 was presented at the IGF Steering Committee in June 2022 and following extensive feedback from the Executive Office, HQ Departments, Regional and Country Offices, a draft strategy was presented to the IGF Board, endorsed by senior management. Additional steps were also considered towards reinforcing the organization structure to reflect the focus on a strong results-based approach (see next component).

JIU Component: Accountability framework

In the process of being mainstreamed: The Organization is designing a performance-oriented accountability system connected to outcomes to replace or complement the traditional compliance-based system connected to the delivery of outputs and the use of resources. Some of the actions required in the JIU framework are being implemented, and some/few decision makers have enforced and used it to drive accountability decisions (on an ad hoc basis).

The analysis focuses on establishing the extent to which accountability at all levels of results (outputs, outcomes, impact), as well as the conditions of success and risk factors, are based on relevant management information provided by credible oversight functions. The accountability framework allows higher transparency and objectivity in assessing responsibilities towards integrating and using RBM. It also enhances the ability to identify and manage risks, and well as areas where strategic partners are required to achieve results.

When it comes to strengthening the accountability to RBM approach, the RBM Unit has been appointed to lead RBM at the institutional level and to promote consistency in the reporting and monitoring of institutional results at global, regional and country levels, including through staff training and a dedicated RBM community of practice. It also provides guidance to IOM staff on RBM and strategic planning in line with the priorities of the IOM Strategic Vision 2019–2023. The Unit is also in charge of the coordination with other HQ entities such as the Executive Office, the Central Evaluation Unit (EVA), the Donor Relations Division (DRD), PRIMA Unit and the Innovation and Knowledge Management (IKM) Unit[10]. The IGF workstream 1 foundational component included a section on RBM with specific work items.

In the matter of enhancing the ability to identify and manage risks (another key element to be ensured according to the JIU framework), the RBM and Risk Management Units are expected to closely collaborate considering that both units are situated in the same department. Similarly, when it comes to ensuring that strategic partners are engaged, collaboration between DRD and the RBM Unit is essential. The coordination between DRD and RBM has been evidenced during the evaluation, whereas no formal collaboration was found between the RBM and Risk Management Units.

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[9] Main RBM initiatives include the development of institutional indicators for the SRF, the roll-out of SRF, improvements on the Annual Report and data collection processes, the upgrade of IOM´s strategic planning toolkit and the design of new organizational planning, development, and project reporting management systems – PRIMA, Oracle and Amp Impact design, among others.

[10] IOM (2022) Roadmap for RBM within IOM, 2022-2023

The monitoring function having been transferred to the RBM Unit in 2023, the Unit is expected to coordinate the reinforcement of a culture of monitoring for results across the Organization.

One of the requirements of the JIU framework is to clearly delineate the roles and responsibilities in the Organization's hierarchy at all levels (vertical accountability), which is not yet specified in an official document.

JIU Component: Change Management Framework

RBM mainstreaming: The Organization is exploring ways on how to design and implement a change management framework supporting RBM mainstreaming. Some initiatives aimed at supporting the change efforts are implemented on an ad hoc basis and with limited outreach and left at the discretion of a few champions within the Organization. Only some requirements included in the JIU framework are addressed.

This component analyses the elements expected to support the achievement of changes in the management, the scope of the changes proposed, the changes in skills and behaviors needed for the integration of the RBM approach, and the measures to keep track and monitor progress towards RBM implementation results at all levels of the Organization, including learning from and adapting to the RBM approach.

IOM complies with the JIU requirements of this component as it defines RBM goals and actions in the roadmaps and has prioritized mechanisms that focus on the development of a results culture. The Organization has also made efforts to identify and reinforce the skills, knowledge and behaviors required to mainstream the RBM approach (see also the component 'Internalization' under the Section on Change Management further below).

When it comes to identifying key champions (one of the requirements under this component), the RBM Unit has mainly relied on the engagement of the Regional Monitoring and Evaluation Officers (ROMEOs) and Regional Project Development Officers (RPDOs) to support the integration of RBM from the global to the regional levels. As of 2023, the focus is expected to shift to COs, particularly in the countries where the pilot roll-out process for integrating the SRF has been carried out. The RBM Unit acknowledges the limited attention given to the network of champions during the process of designing and validating the SRF, although the pilot countries are expected to become champions once the roll-out process is completed. The Unit has also issued several communication documents for mainstreaming RBM aimed at creating awareness and the expected behavioral change, but there is no comprehensive communication plan developed to guide this process.

The evaluation cannot state that IOM has developed a full-fledged change management framework that identifies RBM goals associated to specific measurement mechanisms to track progress towards their achievement. A comprehensive change management strategy usually addresses the organizational integration of RBM through mid- and long-term goals, whereas current IOM roadmaps have a biannual timeframe. The current Roadmap 2022-2023 underlines as a main strategic goal for the period, the development of core competencies on strategic planning, institutional results based-reporting and results-based budgeting aligned with the wider UN system commitments, but the document does not explicitly inform on how and when this is expected to unfold, what actions are to be carried out, and on related indicators for measurement.

To contribute to the effort of establishing a change management framework for RBM at IOM the evaluation has developed a draft ToC as required in its Terms of Reference. Further details on the elaboration of the proposed ToC can be found in Annex 2 and below is the visual representation of the ToC.

Figure 1. Draft Theory of Change for RBM at IOM
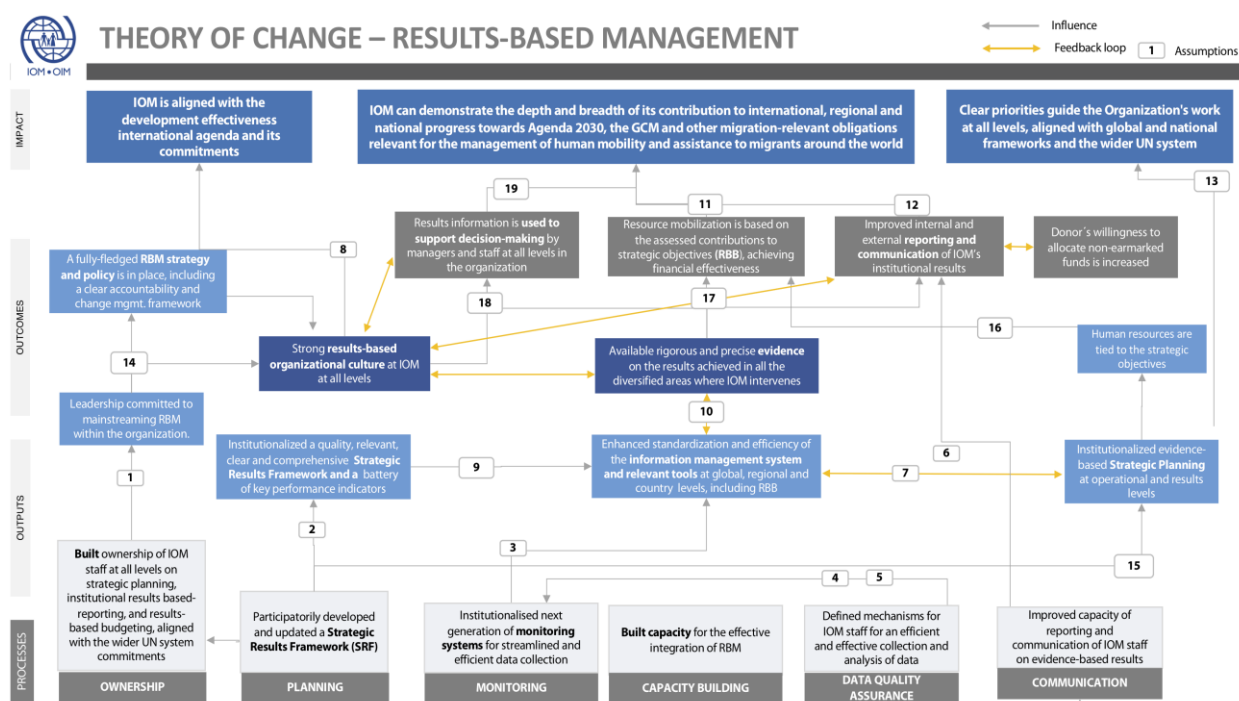
> ➤ *What can IOM learn from RBM frameworks and practices of other organizations?*

The benchmarking analysis conducted in the framework of the evaluation including four UN and non-UN agencies (Annex 3), reveals a good example of a change management framework found in UNFPA RBM principles and standards (the jellyfish model)[11]. The model presents three core and five supporting principles for the integration of RBM in the organization. One of the most interesting components of UNFPA´s change management framework is the system developed to track the implementation of RBM approach. Each principle is divided into standards that have specific key areas or goals defined. Each standard is rated based on a set of specific rubrics that establish the extent to which each standard is being met. As a result, the organization is enabled to monitor the implementation of the RBM, assess the achievement status and to identify areas for improvement. The UNFPA framework goes beyond the proposed JIU framework.

When it comes to definition, institutional vision, and scope of RBM, the four agencies[12] incorporate RBM as a strategic model to deliver results in an efficient manner, and to evaluate and monitor the achievement of objectives through partially harmonized measurement systems. While the definition of RBM across organizations shares similar concepts about establishing impact and progress and using

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[11] https://www.unfpa.org/publications/results-based-management-principles-and-standards
[12] The United Nations Population Fund – UNFPA, the UN Refugee Agency – UNHCR, the World Food Programme - WFP, and he International Federation of Red Cross and Red Crescent Societies – IFRC

results for decision making, the terminology used may vary, each agency having nuances specific to their approach.

Concerning the organizational structure for RBM, the agencies do not impose a rigid model and aim to apply RBM in a way that is adaptable to different projects and offices, in a consistent and reliable manner. Such approach is very much aligned with the practices captured in the case studies of the current evaluation, where IOM ROs and COs piloted the integration and use of the SRF and relevant indicators to the possible extent, while adding ad-hoc indicators to regional and country strategies. Furthermore, the organizational structures of the four agencies follow a decentralized approach. In some cases, specific units/offices have been created to oversee the implementation of RBM, as in the case of WFP and IOM for instance, but all organizational structures analysed require that the RBM implementation across different offices ensures uniformity of data and improves the overall performance of the agencies.

With regard to budget allocations, it has been difficult to find specific information about the RBM budget allocation, and the information available is very limited. Some agencies do indicate the inclusion of budget lines for RBM in their strategic plans. It is worth recognizing the potential benefits of including funding for strategic planning officers for the RBM Unit and work. As an example, UNFPA allocates earmarked funds for RBM through the first of its three core principles to "ensure that adequate and reliable results information is available when needed".

As for the programmatic integration and measurement of RBM efforts, a diversity of approaches was encountered. The UNFPA developed a comprehensive RBM change management approach that is reflected in its 3+5 framework[13], which is intended to measure the extent to which RBM milestones are being achieved at all levels. Used as a self-assessment tool (similar to the JIU´s framework), the 3+5 framework consists of three core RBM principles plus five supporting principles as already mentioned. Each principle has an associated set of standards that capture the essential elements of RBM for generating and using results information. The primary focus of the 3+5 framework is to enhance the availability of results information and to manage adaptively through continuous learning. Other organizations such as UNHCR, WFP and IFRC do not track their RBM efforts directly: RBM integration is planned and carried out comprehensively through the different project cycles, using results gathered for decision making and communication purposes.

The four organisations count with an overarching **Results Framework** that guides organizational operations at all levels, presenting a system of high-level objectives (in all cases they are aligned with the Sustainable Development Goals - SDGs), which are broken down into lower level or scope objectives, and which are finally translated into results indicators. Most importantly, they set clear and specific strategic targets that contextualize and provide the basis for global accountability.

It was however difficult to obtain information on **knowledge management and learning**, as the information on this topic is scattered, especially when it comes to the knowledge generated by the management model. Nonetheless, the majority of the agencies collect and disseminate aggregated results under various websites available to the public.

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[13] More details available in: https://www.unfpa.org/publications/results-based-management-principles-and-standards

Operational Management

Per JIU´s framework, planning, programming, and budgeting are the basis for operational decision-making, with results connected to their corresponding resources through budgeting and human resources (HR) planning policies. A corporate strategic results framework is expected to reflect the strategy to achieve the organization's mandate through operational long-term and medium-term plans within a clearly defined results framework, providing a clear vision for change and enabling the monitoring of progress.

> ➤ *Have the SRF and information systems in place been effective in integrating the RBM at all levels?*

JIU Component: Corporate Strategic Results Framework

In the process of being fully mainstreamed: The Organization is currently in the process of fully implementing its corporate strategic results framework, which contains long-term objectives and indicators. Some of the actions required in the JIU framework are included, and some key decision makers already use it to take informed corporate-level prioritization/planning decisions.

As described in the Roadmap for RBM 2022-2023, IOM operates within a complex and overlapping results reporting environment. In addition to its Constitution, the work of the Organization is guided by what is known as the '12-Point Strategy' adopted by IOM Council in 2007 and reviewed regularly by Member States, which comprises a list of areas of focus for the Organization. This corporate strategic framework is complemented by strategic documents/visions as set-up by IOM DGs to support their mandate. This was for instance the case of the 'Migration Governance Framework (MiGOF)' adopted in November 2015 and of the 'Strategic Vision' covering the period 2019-2023.

As already mentioned, the SRF institution-wide results are anchored in the Strategic Vision, with clear linkages to the SDGs and the Global Compact for Migration (GCM) (and within the political and overarching frame of the regional strategies). The SRF sets strategic goals and establishes a common narrative about what IOM aims at achieving, simultaneously showing the contribution and impact of IOM's work while being used as a strategic planning and reporting tool. It has been designed with the participation of relevant stakeholders at global, regional, and country levels, so as to enhance ownership and commitment. The SRF, once updated to the new strategic planning cycle of 2024-2028 and related operations, will continue offering a framework for streamlining IOM's reporting obligations to Member States about progress made against its strategic visions and expected results.

However, IOM does not meet some of the JIU requirements under this component. Despite showing the logical linkage and alignment between long-term and medium-term objectives, the SRF is not supported by a ToC that identifies the key assumptions or conditions (internal and external) necessary for change to happen at all levels for the achievement of the Organization's strategic goals. Moreover, the SRF neither shows the linkages among strategies, priorities and resources required, nor identifies the sources of financing (Results Based Budgeting - RBB) in a given period of time.

JIU Component: Results Framework for Programmes and Projects

In the process of being mainstreamed. The Organization has started to mainstream RBM newly approved principles into performance expectations for programmes and projects. Some programmes already have measurable results hierarchies, and the focus is moving to the achievement of a higher level of results and alignment with the Organization's strategic objectives. Some of the requirements set in the JIU framework are met.

This component aims to ensure that all programmes and projects are aligned with corporate-level priorities and their contribution to these priorities is measurable.

The integration process has begun with a pilot phase with IOM Development Fund projects already linking projects results matrices to the SRF. The roll-out process for non-IOM Development Fund projects is to begin in 2023, once the SRF is fully integrated into the PRIMA.

IOM has been guiding the integration of the RBM approach into programmes and projects through the IOM Project Handbook since 2011. The handbook was revised in 2017 to, among others, provide clear guidelines for designing, planning, implementing, monitoring, reporting, and evaluating initiatives following a RBM approach. The handbook complies with most of the conditions set in the JIU framework for effective results frameworks for projects and programmes. It specifies (1) the need for initiatives to highlight the logical causal linkages, (2) that indicators (and consequently, results) are to be defined in operational terms and be SMART, (3) that conditions for success and risk factors in achieving the intended outcomes are identified and monitored during implementation and (4) there is a clear focus on addressing cross-cutting themes (i.e. GE, a right-based approach, environmental sustainability, principled humanitarian action and mainstreaming protection into crisis response). IOM´s Project Handbook is currently being revised, and an updated version including the SRF is expected to be finalized in 2023.

The scope of the evaluation does not include an analysis of the extent to which projects/programmes are designed following the pre-conditions established by the JIU and IOM Project Handbook principles consistently used by staff. However, the MOPAN assessment of 2019[14] found that the handbook was not consistently used by the staff, and that "a more consistent use of a results-based approach in planning and programming is needed in order to keep pace with UN Reform and prepare for the GCM role and commitments".

JIU Component: Results Measurement System

In the process of being mainstreamed. The Organization is currently setting up its results measurement system with standards and quality requirements for results measurement being internalized at all levels. The system aims to produce credible data on results at every level of the Organization's results hierarchy. Some of the actions considered in the JIU framework are met and are used by some decision makers.

This component focused on determining whether a robust and credible results measurement system and mechanisms are in place, and measures to enhance the sustainability of producing quality data and analysis are established and operational.

The SRF indicators inform IOM's work on programmatic and organizational effectiveness while also putting specific focus on cross-cutting issues. The RBM Unit has led the process of setting up the list of SRF programmatic indicators linked to the different outputs and outcomes of the SRF. Through an iterative and consultative process, the set of indicators have been fine-tuned, and the last version available[15] comprises a total of 341 indicators, 107 (31 percent) at short-term outcome (STO) level and 234 (69 percent) at Output (Op) level.

The indicator list is classified following a three-tier system. At the STO level, 24 indicators (or 23 percent) have priority 1 (Tier1), 29 (27 percent) have priority 2 and 54 (50 percent) have priority 3. At the output level, 18 (8 percent) have priority 1 (Tier1), 65 (28 percent) have priority 2 and 151 indicators (64 percent) have priority 3. A specific analysis of the bank of indicators is attached in Annex

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[14] MOPAN (2019) MOPAN Assessment 2017-2018 - IOM
[15] SRF Indicators as of 27 December 2022

6 as case study 4, and Annex 9 covers Cross-Cutting (CC) indicators. The Tier1 indicators are designed to showcase the global progress for the SRF, to be used for management dashboard for instance. Tier2 indicators are department specific, e.g., emergencies, and reflect the specific data that could be used for the IOM´s Annual Report. Tier3 indicators are mostly operational indicators, that reflect a more nuanced level of progress for the analysis.

Concerning the specific cross-cutting indicators, a total of 15 indicators are included in the SRF framework, as detailed in the next section, with OEE indicators linked to IOM´s IGF, a governance system reflecting the new and evolving needs of the Organization, which is aligned to the UN Efficiency Agenda. A total of 44 draft OEE indicators are included in the SRF.

When it comes to meeting JIU standards, the set of indicators measures results at strategic and operational levels, while adopting a balanced approach to varying demands for accountability, learning and improvement, and policy development. In conjunction with IOM´s Monitoring Policy, the Project Handbook and the IOM M&E Guidelines, quality standards and norms to deliver credibility and robustness to the monitoring function area are met, as they consider quality assurance, ethical codes of conduct and risk management.

On the other hand, and although a specific budgeting for monitoring section is included in the policy, the evaluation could not find any evidence that resource allocation is consistently prioritized for measurement of strategic results. The results of the interviews show that having more than one hundred programmatic indicators at the short-term outcome level is a limiting factor for the effective integration of the framework, and that prioritization of indicators at all stages would ensure a more manageable number of measurements.

For humanitarian work, the internal perception is that results measurement represents a significant challenge. Despite the significant amount of work and discussion around the topic, the Organization struggles to measure the impact of humanitarian actions beyond basic distribution figures, activities, or procedures. Additionally, there is a pressing need to understand which activities and outputs should be measured, as well as how to accurately measure outcomes and impact beyond user satisfaction. Staff also face the limitation of not having sufficient time to go through the learning process and implement changes, as interventions are usually quickly addressed and finalized.

Detailed information on the integration of SRF indicators (Programmatic, CC and OEE) is included in Section 2.5 and Annex 4. A detailed analysis of the SRF structure can be found in Annex 6.

> *To what extent are cross-cutting themes reflected in the SRF?*

Cross-cutting topics are included in a specific section of the SRF, with some measurement of progress towards mainstreaming and achieving CC considerations provided. The SRF includes a total of 15 CC indicators, covering the key areas of Humanitarian Development Peace Nexus (HDPN), GE Mainstreaming, Disability Inclusion (DI), Prevention of and Response to Sexual Exploitation and Abuse and Sexual Harassment (PSEAH), Youth, and Accountability to Affected Populations (AAP).

The incorporation of CC in the SRF is carried out putting focus on the relevant indicators as these are the specific results-oriented commitment of the Organization towards contributing to advance CC themes. The evaluation notes however that metadata for each indicator is not provided to fully comprehend and evaluate the relevance and sufficiency of the CC indicators considered. As a result, the analysis is limited to the information available with the indicator description. Full analysis of CC indicators is included in Annex 9.

Out of the total of 15 indicators, six are considered adequately designed based on their description, five are not specific enough (meaning their description is not clear to understand the nature of the measurement without additional metadata), and four are not considered SMART.

In terms of thematic areas, two indicators for HDPN are not SMART, the GE mainstreaming indicators are adequately designed (although specific information should be specified in metadata), two indicators out of four are considered adequate for DI while others do not meet the SMART criteria. The three PSEAH indicators are considered adequate, but specific information is not included in metadata to enable further clarification. The two Youth related indicators are considered partially SMART, while the AAP related indicators meet the standard SMART criteria.

The survey respondents rated the adequacy of CC indicators based on a scale from 1 to 5, 1 being completely inadequate and 5 completely adequate.

Figure 2. Survey results "To what extent are the cross-cutting indicators included in the Strategic Results Framework adequate for the effective integration of cross-cutting themes in IOM´s work?"
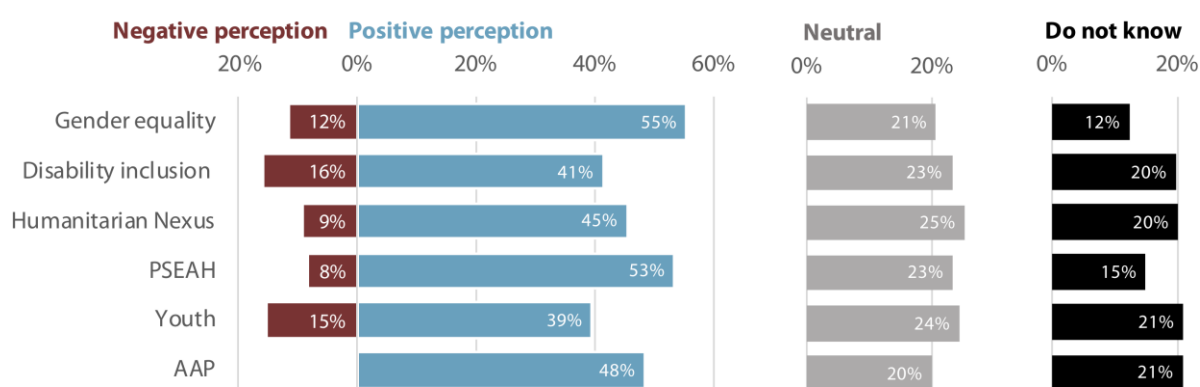
On average, the adequacy of CC indicators was rated between 3.4 points (Youth and DI indicators) and 3.7 points (PSEAH and AAP), showing that the design of CC indicators was considered rather positively or neutrally by the respondents. However, when looking at the survey results based on the respondents' function, thematic specialists rated the effectiveness of indicators more negatively (average of 2.6). When looking at survey results by office, the respondents of the country offices are the ones with the highest positive perception ranging from 3 to 4 (around 20 percent of the total number of informants).

> ➢ *To what extent are relevant mechanisms for identification, planning and budgeting being considered for the implementation of RBM?*

JIU Component: Results-based budgeting

Exploration for mainstreaming: The Organization has an undeveloped process for Results-Based Budgeting (RBB)[16]. Only a few decision makers use an RBB approach to prioritize resource allocation. There is a good understanding of how the SRF should factor into the budgeting decisions but as of now, there is not enough information and data to fully embrace this approach.

This component addresses the way in which the Organization's strategy for mobilizing and allocating resources is aligned with its strategic objectives and priority needs.

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[16] No description of cost-accounting policies included in the Accounting and Financial Reporting.

IOM´s core budget is divided into two main categories, i.e. the administrative budget and the operational budget, with an operational support income (OSI) component stemming from the operational budget and unearmarked contributions, which is mainly used to complement the core administrative budget (IOM Programme and Budget 2022). The overall budget is further delineated by countries of operation, projects and services for the year covered, but lacking a longer-term strategic and institutional results forecast and description of budget contribution to expected results, with cost-accounting policies.

At HQ's level, informants confirmed that RBB guidance is not yet available. The RBB related actions are expected to be piloted and eventually implemented in the coming years, related to the next strategic vision. There is however a clear intention and good understanding of how the SRF process should factor into the budgeting decisions.

JIU Component: HR management

Exploration for mainstreaming: HR plans and performance appraisal systems, including rewards and recognition, are loosely linked with the achievement of strategic objectives for the Organization, and mostly focused on inputs and activities. Very few of the JIU criteria for this component are met. None or few managers and staff members are committed and currently held accountable for the achievement of SRF results.

This component focuses on the extent to which HR policies and systems are driven by requirements, and needs are assessed to enhance the Organization's ability to achieve its strategic objectives.

The competency frameworks, job categories and profiles, and the staff mobility procedure are established with IOM Unified Staff Regulations and Rules updated in March 2023, which represent IOM's overall HR Policy and outlines Organization's policies and practices in respect of recruitment, selection, and staff mobility. However, the evaluation did not find sufficient evidence to confirm whether the newly approved staff performance system will facilitate the alignment of staff objectives with organizational goals and strategic results, and whether the HR needs are established and updated based on periodic capability assessments.

Regarding RBM and the appointment of staff according to the requirement to deliver strategic results, a significant role was assigned to the RBM Unit in 2022, with a Chief of Unit hired at a P5 level (a role previously covered by a P2 staff), ensuring sufficient authority to push the RBM agenda across different organizational and management levels. As mentioned during interviews, the grade of the staff can indicate the institutional commitment to RBM, but the financial investment in staff to perform RBM tasks and ensure that the staff turnover does not impede the continuity of the RBM integration is still not fully satisfactory. The ROMEOs are mainly responsible of RBM in the region and for further promotion of the approach at regional and country-levels. Considering the expected workload, RO priorities and the resources necessary for a new RBM approach in IOM, there are pressing needs to secure staffing at the country level too, including for guaranteeing a good use of PRIMA on RBM matters. This may especially be needed since ROMEO's new roles and responsibilities are growing considerably, including M&E, RBM, Risk, Reporting, Knowledge Management, and strategy development with inputs to SRF among others.

Funding allocation for RBM Human Resources

The institutional commitment towards RBM is also reflected in the un-earmarked contribution that the RBM Unit receives through the Migration Resource Allocation Committee (MIRAC) funding. Since

2019, the RBM unit has received a total of USD 1,161,916. In addition, the allocation of IOM core resources for RBM Unit staff has considerably increased since 2021, as reflected in the below chart.

Figure 3. Evolution of funding for RBM unit
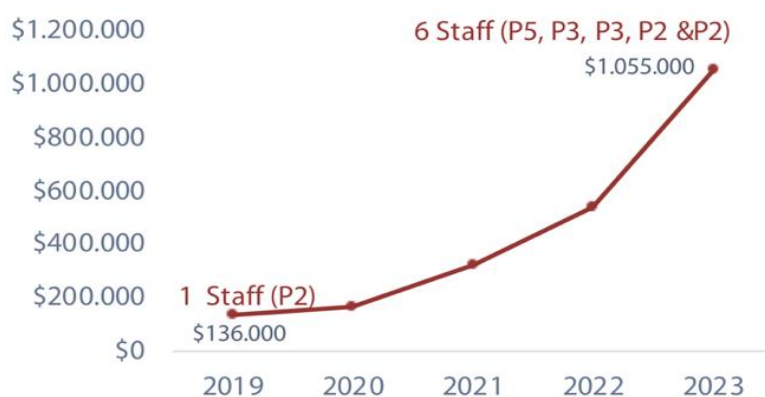
The survey results show that respondents rate the adequacy of human resources allocated to RBM strategic approach rather negatively and only six per cent of surveyed staff (11 out of 177) strongly agrees with the statement on the adequacy of HR allocated to implement the RBM strategic vision. Concerning the timeframe for implementation of RBM, respondents show a positive perception in average.

Identification of additional resources needed to reinforce RBM approach

No specific funding was allocated to implement the RBM approach at the regional and country levels prior to 2023, which leads to a limited support for the integration and implementation of RBM, having also in mind that IOM is a projectized Organization. The MIRAC funding provided good support for the integration of the SRF into regional and country strategies, but no funding was directed towards HR. During interviews, the need for more investment (core funds) into relevant staff positions (mainly M&E officers, but also data and research specialists, as well as policy and liaison staff) were identified as needed to properly implement the RBM approach at the regional and country levels.

Regarding the level of agreement on the availability of funds allocated to the implementation of the RBM, the average survey score reveals a rather negative perception as only 2.7 per cent strongly agree that the available funding for RBM implementation is adequate. Overall, most respondents agree on the adequacy of human resources available for RBM, with noted differentiations between HQ (where the adequacy of HR is positively perceived) and ROs and COs (where the adequacy of HR is more negatively perceived).

In terms of cost-effectiveness in investing in RBM, it is relevant to highlight the RBM Unit's achievements since 2018. Despite limited resources and capacities, the Unit embarked on an ambitious journey to develop the SRF, gain institutional buy-in, and integrate the SRF into PRIMA. Identifying cost-effective strategies for further implementation considering the results achieved and the resources invested, remains to be done to guarantee linkages of regional and country strategies to the SRF, considering the improvements in terms of framework (indicators and roll-out) as well as the experiences from the piloting process (good practices and lessons learned). As of 2023, the RBM Unit has increased its budget by a factor of seven in comparison to 2018.

Complementarity of the funding modalities with the RBM approach

IOM as a projectized Organization[17], receives more earmarked funds than any other entity within the UN system and donors typically have a larger proportion of funding that is tightly earmarked for specific funding periods and projects, which may inhibit a more flexible approach to achieving particular strategic results. Relying only on earmarked funds also requires field staff to constantly fundraise for projects, which may limit their capacity to support mid and long-term RBM planning, monitoring, and reporting. In a context where IOM´s decentralized organizational structure has been regarded by MS as a strength in terms of capacity to be a field-oriented Organization, RBM became a priority for the Organization and its Member States in 2011[18].

In line with the current Strategic Vision (2019-2023), there is however an internal expectation to increase the attraction of unearmarked and softly earmarked funding for the Organization, enabling IOM to remain flexible and responsive, and to use resources strategically based on achievements of the overall SRF.

As reflected in the draft RBM Theory of Change (ToC), a results strategic focused organization may attract more unearmarked funding and vice versa, creating a positive feedback loop. As confirmed by key informants, donors are keen to contribute with unearmarked funds as long as this contribution can be clearly reflected in aggregated results and impact at different levels of the Organization. While some donors are not requiring to be RBM-focused and are more interested in specific services and initiatives that can be clearly linked to their funding streams, others, such as the United States, Canada[19], Australia, Denmark, Norway, or Sweden are supporting aggregate results reporting and some are incentivizing improvements with unearmarked funding. Informants at all levels confirmed that there is a lack of predictable multi-year funding for the Organization and there is a shared opinion on the need for senior management to further negotiate unearmarked funds with donors at the regional and local level for a use at a strategic results level.

Accountability and Learning

According to the JIU framework, M&E and reporting functions need to operate in an integrated manner to support the production and dissemination of credible and meaningful evidence on performance of the Organization against the expected results, at all levels. The purpose is to inform decision-making processes and improve or select alternatives that will further support accountability for results and learning.

> ➢ *How effectively does IOM monitor, evaluate and report following an RBM approach?*

JIU Component: Performance monitoring

Exploration for mainstreaming: Performance expectations on results are usually defined, but specific mechanisms are not fully in place to provide regular and timely evidence of progress in achieving expected performance.

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[17] In the 2019 Multilateral Organization Performance Assessment Network (MOPAN) report highlighted that its projectized model constrains its flexibility to respond to needs or to conduct increasingly essential work. Therefore, it was mentioned that the IOM requires a level of core resources to meet the expected level of accountability, transparency, efficiency, and cost- effectiveness placed upon the Organization.

[18] IOM (2019) MIRAC Concept note, RBM.

[19] Canada has a RBM funding guidance mandatory to use in all the proposals submitted for funding: https://www.international.gc.ca/world-monde/funding-financement/results_based_management-gestion_axee_resultats.aspx?lang=eng

Results or strategic monitoring enables the measuring of progress and performance of the Organization's strategic objectives and outcomes against indicators and targets and provides recommendations for the improvement and corrections where needed. Compliance monitoring on its side concentrates on the adherence to applicable policies, strategies, and internal regulations with primary objective to identify and mitigate risks associated with non-compliance.

According to IOM M&E Guidelines[20], a M&E plan is a strategic document that describes the functioning of the M&E system, the planned M&E activities, the M&E questions to be addressed and the overall programme logic (including the ToC or Results Matrix). It includes indicators to be measured, the frequency and timing, as well as the type of data to be collected, such as baselines, targets or for assumptions. It also provides information on the methods for data analysis, the frequency of reporting, as well as plans for forthcoming studies, reviews, and evaluations. It can cover additional areas such as learning and reporting. An M&E work plan can be added as an annex, being an action plan listing activity, responsibilities, time frames and costs.

Overall, IOM complies with JIU´s requirements for a results-based performance monitoring system considering that the M&E plan for the SRF roll out is partially developed in the SRF indicators document. This document contains the list of indicators for all outcomes and outputs. A measurement unit is assigned to each indicator, together with priority and a unit/department responsible for its tracking. SRF indicators adopt a balanced and complementary approach to the identification of quantitative and qualitative indicators[21] and include information on perceptions/opinions/judgments among stakeholders towards change. However, the PRIMA system does not capture well defined qualitative data and the IQ tool (among others) is currently used for such purposes.

This monitoring system facilitates the gathering of data on the successes and failures of implementation and is fully costed as part of the implementation strategy. The monitoring functions are also supported by M&E specialized personnel as required by the JIU, and the majority of evaluations are independently conducted.

However, performance monitoring does not fully meet JIU criteria when it comes to tracking the SRF results, as the framework cannot yet assess actual results achievement against intended results using baselines and targets. Guidelines on indicator metadata are currently being drafted by the RBM Unit with an anticipated launch date in 2024. In any case, SRF data is feeding into the IOM Annual Report, and, at minimum, one annual whole monitoring cycle is to be carried out: collection, analysis, synthesis, report, and communication of results.

The RBM Unit´s plan is to gather baseline data with the implementation of the SRF-PRIMA, as the data collected through the IQ is not reliable enough for setting accurate baselines for the SRF indicators (see also below JIU component 'Management Information System'). By 2024, when the new strategic planning cycle will begin, indicators, baselines and guidance for each indicator are expected to be ready to inform the new framework and/or strategic vision. To ensure the validity and reliability of data, shared understanding of indicators and data is essential. Without prior guidance on indicator metadata to facilitate quality checks, the roll-out is expected to be hindered.

Organizationally, the HQ units responsible for the respective SRF indicators are identified. Collection of data for SRF indicators has started (roll-out phase), but a more detailed institutional guidance to

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[20] See: https://publications.iom.int/books/iom-monitoring-and-evaluation-guidelines
[21] Understood as indicators for which data are collected via qualitative inquiry approaches, and then the data are quantified. Qualitative data are sometimes reported in numerical form, but those numbers do not have arithmetic meaning on their own (for example, perception of target population on the adequacy of IOM services). Qualitative indicators are also those that are represented in categorical variables/scales, such as "yes/no", or "low", "medium" or "high".

define internal roles, responsibilities and staff specification is missing. The distribution of work of the different units in the oversight of data collection for SRF Tier 1 indicators is included in Annex 6. The divisions are collecting altogether 99 values for SRF indicators Tier 1, 39 percent at output level and 61 percent at outcome level.

As part of the support provided to ROs and pilot COs to integrate the SRF into regional and country strategies, the RBM Unit has issued a series of documents and templates to guide the integration process. However, the guidance or manual on how to effectively operationalize the SRF at all levels is not yet prepared although it is expected to be included in the on-going revision of IOM´s Project Handbook.

Based on the interviews, the use of the monitoring module in PRIMA is low since it is not a mandatory requirement, though there is a growing recognition of the importance of PRIMA for planning, monitoring, and reporting purposes. The missions are also highly dependent on donor reporting requirements, not necessarily focused on global corporate reporting.

JIU Component: Results reporting

> **In the process of being mainstreamed:** External reporting is being linked with internal reporting and used by some/few decision makers. Reports address the hierarchy of results (inputs, outputs, outcomes, and impact) and their aggregation. Some of the features included in the JIU framework for the component are considered/included.

A results reporting system provides relevant information and enables decision-makers and stakeholders to stay informed on the findings from monitoring, review, inspection, and evaluation exercises, and use this information to support decision-making. Results-based reporting thus shifts attention away from activity-based reporting towards communicating information on outcomes or changes associated with a certain strategy. The objective is about accountability, improvement, and development of knowledge systems at organizational levels[22].

Currently, the main results-based report produced at the organizational level is the Annual Report presenting a summary of IOM´s overall implementation performance and achievements to its Member States and the public.

When it comes to meeting JIU criteria for results reporting, the Annual Report presents key information on institutional development and organizational effectiveness. The report is the result of a strategic decision to transition from an activity reporting system to one that aggregates and synthesizes results and operations across the Organization. The information is mainly obtained through financial records, IQ, OEE survey, and other HQ surveys and platforms (on health, emergency response, displacement tracking matrix (DTM), movements, etc.). The PRIMA is mentioned[23], but only to reflect the number of projects activated, without showcasing results data. Such data is expected to be available once the PRIMA planning and monitoring modules are institutionally used and applied for reporting purposes. The report includes a section on RBM and recognizes the involvement of partners and their contribution to results at all levels, as well as the target audience.

Despite being developed to present overarching organizational results, the scope of reporting remains focused on activities and outputs, and limited information is provided on outcomes and/or impact. The Annual Report does not provide an analysis of consistency or discrepancy between planned

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[22] JIU Note 2017/ Results Based Management in the UN system, Pag 101
[23] IOM C/113/INF/1/ Annual Report, 2021

(expected results) and actual results against baselines and targets, which is one of the key considerations promoted by the JIU framework. Furthermore, the validity of data collected through the IQ is not fully guaranteed as discrepancies are identified internally when aggregating data (more on this under component below on management information system). Since no targets have been set yet, the report lacks direction and reasoning for reporting on over- and under-achievements, as well as on an analysis of performance. Reflections on good practices and lessons learned are partially covered, as efficiency initiatives are presented for the IGF. The report does not consider unforeseen challenges and opportunities that may require new strategies.

JIU Component: Evaluation

In the process of being mainstreamed: IOM´s evaluation function meets most of the requirements set in the JIU framework for effective result-oriented evaluation, such as examining the added value or difference made by the Organization, aligning evaluation plans with the Organization's strategic priorities, and stimulating the demand for evaluation evidence and the use of its findings.

Evaluation is a process of assessing the comparative value in achieving desired outcomes and strategic, policy, results. It serves as a catalyst for change, providing the Organization with the necessary guidance to make informed decisions and set goals for the future. It also enables the Organization to assess the added value for the multiple stakeholders who support interventions. Evaluation efforts contribute to the overall organizational RBM integration.

Per JIU criteria for effective introduction of a results-oriented evaluation function, IOM´s evaluation meets the majority of the requirements set in the JIU framework. Both centralized and decentralized evaluations are conducted and examine the relevance of interventions to outcomes and longer-term goals, as well as to hypothesized causal linkages in results logic. Strengthening ToC and supporting impact evaluations are among the key areas to address in Outcome 1 of the current M&E Strategy (2021-2023): "Field offices and HQ have a standards-based approach to "M&E"[24].

EVA examines the merit and added value or difference made by the Organization (intended and unintended) in an effort to guide strategic decision-making based on evaluative evidence. It aligns central evaluation plans with the Organization's strategic priorities and principles through the biennial Central Evaluation Plan, as well as evaluation plans for decentralized evaluations, which are managed at regional and country levels. The evaluation function has also made use of methodologies conducive to learning, e.g., evaluability assessments, guidance for enhancing M&E systems, including meta-evaluation to review internal and external evaluations to move towards the development of quality assurance mechanisms. EVA actively advocates for the implementation of synthesis evaluations with IOM departments to glean insight from evaluations already conducted and aid them in making informed decisions[25].

EVA in addition stimulates demand for evaluation evidence and the use of evaluation findings, and a clear reflection of it, is the public evaluation repository launched under the Evaluation Website[26]. Management responses for follow-up of the implementation of recommendations and evaluation briefs are also required for publication with the evaluation report. The independence of the Central

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[24] OIG Monitoring and Evaluation Strategy 2021-2023
[25] OIG Monitoring and Evaluation Strategy 2021-2023
[26] IOM, Evaluation Repository. Available at https://evaluation.iom.int/repository

Evaluation unit is currently partially established through the Central Evaluation Unit Charter[27]. In 2023, EVA has secured financial autonomy since its budget has been entirely funded by IOM core funds.

> ➤ *Have the information systems and tools in place been effective in support to the implementation of RBM?*

JIU Component: Management Information System

> **In the process of being mainstreamed:** A management information system able to provide relevant evidence at the corporate and programmatic levels has been designed and is being rolled out. At this stage, focus is given to ensuring accessibility and that correct information is fed into the system. Some of the features considered in the JIU framework are met.

Per JIU framework, the aim of a management information system is to maximize relevance and efficiency in the accessibility of performance data available to support decision-making. To provide past, present and prediction information, a management information system can include financial management systems; asset management systems; human resources management systems; project management systems; and knowledge database systems".[28]

When it comes to meeting JIU requirements, IOM complies with the continuous enhancement for the integration of strategic and operations (programme/project/services) performance data. The IOM disposes with diverse management information systems, programmatically the most relevant being PRIMA, IQ, OEE, the Migrant Management and Operational Systems Application (MiMOSA) and DTM. The Processes and Resources Integrated Systems Management (PRISM - to be changed soon with an Oracle system) is used to track financial data among other functionalities, for instance in the field of HR management. Progress information against the majority of SRF indicators is expected to be obtained through PRIMA (at project level), and to a smaller extent from IQ, MIMOSA and DTM. Other SRF indicators will be sourced from central assessments. Moreover, certain indicators are fed through the Migration Health Division questionnaire (Migration Health Assessments) and the Emergency Tracking Tool, which provide data from emergency contexts. At the time of drafting this evaluation report, the RBM Unit was in the process of mapping the various sources of data to feed into the SRF indicators.

The SRF was integrated in PRIMA for its soft launch in February 2023, through the roll out of dedicated wizards to facilitate the selection of SRF outcomes and indicators by project developers, the revision and production of specific PRIMA user guides, and through capacity development resources (videos, webinars, and trainings).

The integration of SRF in PRIMA provides a unique opportunity to comprehend the contributions made at all levels, how thematic areas reinforce, coalesce, and supplement each other, and the cumulative effect of the achievement of global results. The pilot roll-out process is expected to start in Q2 of 2023 in COs. The management information system will also be able to determine priorities for information management value initiatives, using the 3-tier level considered for the SRF indicators.

Finally, PRIMA is implemented by a dedicated Unit, which is one of the conditions included in the JIU framework. However, IOM is still to roll-out the updated PRIMA functionality to take stock of best practices, lessons learned and regular users´ feedback on information management practices. At this

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[27] IOM Evaluation Charter IN/291 (2023)
[28] JIU Note 2017/ Results Based Management in the UN system, Pag 105

point, the focus is given to ensuring accessibility and testing of the system, and that corrective measures are taken before a global roll-out.

The IQ has enabled the Organization to collect and aggregate data on programmatic and organizational effectiveness since 2017 and the IQ compliance has steadily increased, reaching now full response rate. The IQ has streamlined the different data collection systems designed by HQ departments to compile data from the COs and improved overall coordination across departments while reducing the reporting burden for the IOM offices. The IQ has been updated in 2023 to integrate the SRF indicators (79 indicators currently measured). The improvements to make the IQ more concise are expected to increase the data reliability and a second set of IQ questions specifically tailored to the ROs have also been developed to allow a more detailed analysis of the "value added" by the ROs.

Evidence from interviews confirms the IQ relevance as it allows field staff to reflect on the impact of activities beyond the output level and the need to obtain higher results for the Organization. Moreover, when no data is available, field staff become aware of the limitations of their monitoring efforts, recognizing the need to give more attention to certain areas of work. The main challenges are to guarantee the reliability of data and to avoid IQ becoming a burden for the field staff, who may not see how their efforts contribute to IOM global results. In addition, the IQ does not allow the aggregation of results at all possible levels, since, for instance, not all the GCM objectives are addressed.

Compliance with the process requires extensive guidance and mentoring, which is performed by the RBM Unit as well as the RBM focal points at regional level, in coordination with country level focal points. Instructions to complete the questionnaire are provided in the form of webinars, guidance material, 'Frequently Asked Questions (FAQ)' documents and the users' guide. A more detailed analysis of the IQ is available under Annex 5.

Prior to the integration of the OEE indicators in the SRF, an annual survey was launched to compile inputs for the IOM Annual Report. Similarly to the IQ, a one-off survey has limitations as it doesn't capture the narrative around the progress made. The shift to an OEE results framework is also expected to offer better alignment with external reporting requirements, such as the SDGs, the Quadrennial Comprehensive Policy Review (QCPR), Funding Compact, and the like[29].

In general, the perceived usefulness of the RBM Unit's main tools (SRF, Strategic planning and IQ) is rated medium to high. Greater usefulness was perceived for the purpose of supporting results reporting than for supporting management and decision-making as seen below. A pattern is observed in both types of uses of RBM tools, with the project developers, project assistants and thematic specialists considering the RBM main tools less useful than other professional profiles. A higher degree of usefulness is noted at the country level.

Figure 4. Survey results "To what extent do you consider the RBM main tools (SRF, strategic planning, and/or IQ) useful?

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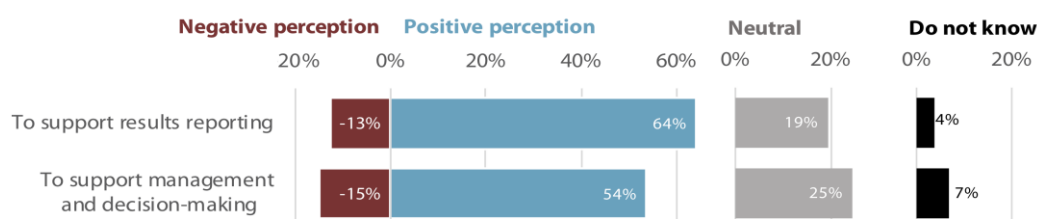
[29] IGF Progress report 2022

Change Management

Following the JIU´s framework, managing for results requires more than technical capacities and compliance with a set of new procedures and tools.

Mainstreaming results-based management implies a change process in all aspects of planning, management, and accountability systems. It also implies changes in the mindset and values that guide individual and collective behaviors within the Organization towards a mature results culture.

JIU Component: Internalization

> **In the process of being mainstreamed:** The Organization is currently integrating RBM into the overall training programme, and/or supporting the development of capacities/skills of its staff. Guidance is provided to a certain extent, but no rollout training package and concrete guidelines about how to apply the RBM at the different levels is available. Emerging champions and leaders that promote RBM are encouraged to show its added value in their organization, and pilots/initiatives are carried out (e.g., learning groups, thematic networks, working groups, etc.). Some of the JIU requirements are however met.

According to the JIU framework, the internalization process aims to support the sustainable acceptance and compliance with the set of new values, norms, tools, processes, and procedures implied by RBM. It does so by providing the training, incentives and support necessary for the staff and managers of the Organization to apply the identified requirements and implications. Ultimately, internalization efforts aim at empowering and building the sustainable ownership of staff over the change process for new practices to become the typical new norm and mode of operation.

> ➢ *Has IOM staff received the necessary training, tools and guidance to implement RBM?*

IOM meets relevant elements considered in the JIU framework, noting visible efforts and investments in developing the capacity of staff to understand both the approach to RBM and the effectiveness of internalization. The results of the survey and interviews show that staff understand both the rationale for RBM for the Organization as well as the philosophy, concepts, guiding principles and application to their work. This can be attributed to the implementation of training as well as the guidance from the level for enhanced understanding and development of the relevant competencies in RBM.

About RBM training, Table 4 below shows the training conducted so far. Webinars and workshops have in addition been organized to reinforce RBM understanding e.g., in RO Vienna, the SRF consolidation Workshop (March 2021), RO Pretoria (April-June 2021), and the RDPO/ROMEO retreat (September 2022). Moreover, the integration of the SRF into PRIMA was consolidated during a three-day workshop in Valencia (Spain) with a total of 23 attendants, where the teams designed the new system functionalities to support the selection of, and reporting against, the SRF and its corporate indicators. The main goal of this update is to ensure that Project Developers (PD) and Project Managers (PM) can (a) identify the right results (outputs and outcomes) to which projects/initiatives they are developing contribute to and (b) formulate the relevant indicators to measure progress towards reaching results and for reporting. The system also allows the introduction of alternative indicators, linked to relevant outputs and/or outcomes.

Table 4: RBM training

TRAINING	SCOPE	ATENDEES
Strategic Thinking and Management Training (Harvard Training)	Online. Focused on training staff in the "Strategic Thinking and Management". The goal was to increase IOM managers' understanding of strategic planning and results-based management and to help them to recognize the applicability of these topics in their daily work.	449 since 2019
Leveraging Global Frameworks (LGF) training	Online and in-person. Focused on understanding the links among the key global policy frameworks for IOM and how they relate to IOM's objectives and work, as presented in the Strategic Vision and the SRF.	558 for the basic e-learn, and 647 for the advanced level
Chief of Mission (CoM) Training	Online in 2020-2022. Reverting to face-to-face in 2023. Provides an overview of the role of CoM or Heads of Office in, among others, developing new IOM country strategies and delivered an online training for IOM managers, with focus on strategic planning and RBM-related soft skills.	112 attendants in 2022.
Training-of-Trainers on the SRF	Online. "Light" training with ROs to enable them to be able cascade the content for the in-country pilots with Project Support Units.	23 attendants in 2022

Based on interviews, staff highly appreciated efforts towards internalization and how most of the training was conceived. However, they emphasized the importance of addressing the specific needs of implementing the SRF in their daily tasks through practical application. One of the interviewees noted that "I would like to have seen more planning about how exactly to roll RBM out, with materials targeted to different audiences".

The number of staff having contributed to the survey who received RBM-related training, does not exceed 41 percent of the total sample, with 24 percent having received training outside the IOM. In general terms, training toward improving work on RBM was positively considered, since 65 percent of the respondents valued "high" or "very high" the usefulness of the training to improve their work in RBM.

In addition to training, guidance has been drafted on RBM implementation and improvement of results-based reporting, such as the SRF Introductory video[30], the PRIMA SRF Wizard User Guide, the SRF FAQs and the SRF two-pager. Even though these documents have been effective in supporting the process of integrating RBM, there is no proper rollout package and implementation guide with more detailed instructions on how to implement RBM across the Organization, limiting the staff ability to understand their role in applying the RBM.

Survey results about the adequacy of support received for the integration of the RBM approach show informants expressed higher levels of support from HQ and ROs, while COs deem support considerably lower. This might reflect and complement the results of the interviews where limited capacities and integration of the RBM at CO level were identified.

Other elements of this JIU component are still not currently met. No evidence was found of the existence of accountability and incentive systems for integrating RBM. Similarly, there was no evidence on the existence of performance assessment based on results achievement; only the EHoA RO reported to have started using its results framework in its performance appraisal management

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[30] https://www.youtube.com/watch?v=T0vaEQhUhGY

tool, introducing key objectives of the framework in the staff performance appraisal system (mainly for senior managers) by linking staff roles to broader goals.

Concerning the existence of learning groups and networks with a high level of staff participation (a criteria of the JIU framework), the Knowledge Management platform POEM is RBM focused and could be a potential space for collective learning and sharing experiences but is currently underutilized. The case-study analysis also reveals a limited system in place, at least when it comes to ensuring strategies and know how at the country level is passed on to newcomers.

However, the results of the survey reveal that overall, IOM staff has a positive perception on the levels of preparation towards implementing RBM (Figure 5). Staff turnover is identified as a major challenge when it comes to ensuring capacities and know-how are kept and maintained.

Figure 5. Survey results "To what extent do you consider yourself prepared for implementing RBM"?
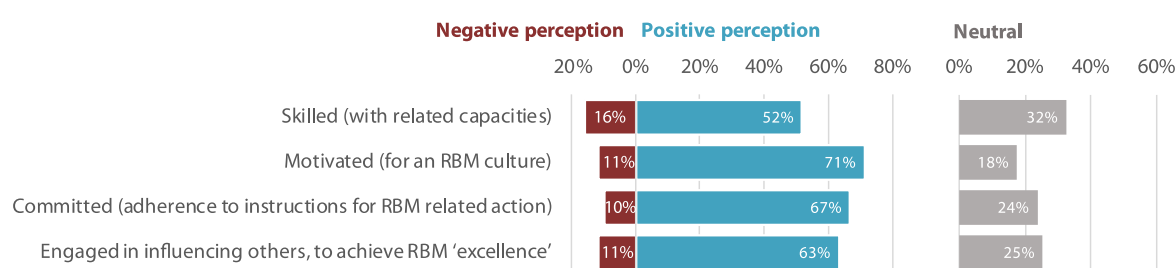
> *What is the level of internal coordination and collaboration to foster RBM culture?*

The set-up of a RBM Unit within DPP in 2022 enabled, as the relevant central structure, to operate, seek synergies and provide consistent support for RBM at all levels, including with the field. An effective and formal coordination is particularly noted with RPDOs, while the coordination with some RTSs is more personality driven. At the country level, the MSIU provides good coordination with the RO for the integration of the SRF and the overall RBM approach, as noted below in Figure 6 (under 'other units within my CO'). More information on coordination between HQ, ROs and COs can be found in Annex 7.

Figure 6. Survey result "Level of coordination reached for the implementation of RBM"
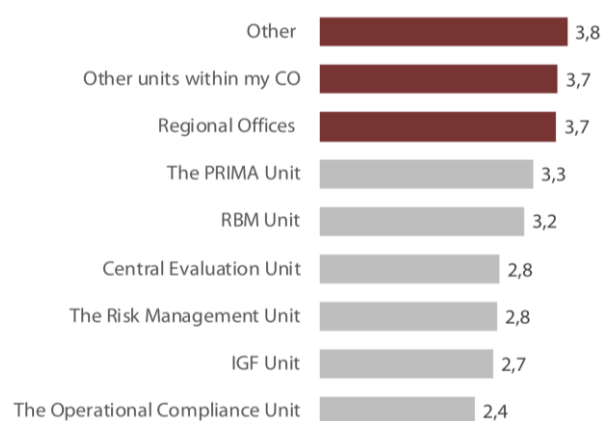
All interviewed informants shared the rationale and expected mid-term and long-term benefits of having a full-fledged RBM strategy mainstreamed across the Organization. The main concerns relate to operational issues for the definition of roles and responsibilities and the implementation mechanisms to effectively mainstream RBM at all levels.

At central level, some constraints related to coordination and roles can be noted mainly due to the decentralized nature of IOM. For instance, IOM HQ oversees reporting on consolidated corporate results to Member States, which raises an issue for the field in charge of reporting on their own results to donors. For short-term interventions, this may create a challenge to link their achievements to mid-term results reporting. This is however expected to change with the integration of the SRF into PRIMA.

At the regional and national levels, COs questioned the added value of considering a global institutional results framework given the projectized nature of the Organization and the required alignment with donors' demands.

On-going organizational changes, with the IOM business transformation, are also enabling IOM to shift towards a stronger strategic management while ensuring a cross-institutional RBM approach. The key enablers for strengthening the integration of RBM and increasing organizational awareness and buy-in at the regional and national levels, are the Regional Directors and the CoMs respectively. The findings of two case studies reflect a high level of leadership engagement on RBM in both regional and country offices (supported by the results of the survey), which facilitates collaboration to foster an RBM culture.

The RBM Unit has liaised with several units to promote RBM and used online communication tools (RBM SharePoint and the RBM Yammer group) to reach a noticeable number of staff (around 1300 staff members through each tool as reported in 2021)[31]. Together with IGF and DRD, initiatives such as meetings and webinars, were carried out to share information on RBM implementation with IOM Member States and staff, including the participation in the DRD-convened "Donor Accountability Working Group", this in addition to training activities discussed above.

Informants from COs confirm that offices have begun to appreciate the significance and necessity of adopting the RBM approach as already underlined. The ROMEOs played a major role as focal points in the ROs for the integration of the SRF, being in contact with both HQ and COs.

The evaluation has identified important challenges that can affect RBM engagement and buy-in:

Benefits for ROs and COs in using the SRF and applying RBM not yet clear enough*:* This has been noted in the case studies, and IOM is not clearly establishing how RBM can facilitate decision making based on results and how it can reduce the reporting burden by integrating it into the main internal and external frameworks that IOM reports to.

Follow-up and application of changes at the regional and national levels*:* The case studies confirmed the challenges of keeping pace with institutional changes linked to the establishment of IOM´s Business Transformation model and other restructuring initiatives. These changes are happening in parallel with a changing environment for the elaboration of an RBM approach and frameworks, and the reporting requirements the new process brings. In that organisational restructuring context, the number of webinars, presentations, and other events are often overwhelming for the field staff who already have considerable daily duties to manage, and these changes may finally undermine the capacity of staff to fully adhere to organizational proposals.

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[31] IOM RBM Unit. Final Report to MIRAC, 2021

Member States reactions to change*: Even if Member States are fully supportive of the implementation of RBM, IOM must ensure in the framework of IOM Budget Reform process that its core budget supports the necessary positions and structures at HQ, and in the ROs and COs.

> ➤ *Is external coherence ensured in the implementation of RBM?*

It is increasingly important for IOM to articulate its contributions to the SDGs and the GCM in a comprehensive and robust fashion. It is noted that reporting at the different levels is facilitated by the SRF, from the UN INFO[32] at the country level to the QCPR at the global level. It is also worth reminding IOM's participation in UNSPN as co-chair.

At the country level, UN agencies are part of UN Country Teams (UNCT), and reporting is ensured through UN mechanisms. As illustrated through the case studies, IOM country teams focus heavily on reporting to the UN system, while internal reporting (for instance with the IQ) may often be considered secondary. The ability for the SRF to be linked to global UN frameworks is crucial for country-level programming, monitoring, reporting, and decision making.

The main challenges on external coherence identified during the evaluation include:

Aligning reporting with UN frameworks*: Considering the nature of IOM short-term programming cycle and difficulties to link to mid and long-term strategies, it is important to consider all relevant frameworks during the design process to make clear linkages to SDGs and GCM.

Reporting not fully institutionally driven*: As described by several informants, it is common for donors to provide indicators to measure success, which are not necessarily fully aligned with the SRF or other IOM specific frameworks. In that regard, the importance of presenting the SRF as an essential strategic reporting tool could play a role in enabling a full integration of IOM results frameworks at the field level.

High reporting workload*: In both Kenya and Costa Rica case studies, it was pointed out that introducing a new results framework has a considerable impact on the current reporting. Despite PRIMA tagging interventions according to the different results frameworks, there is not yet a systematic way to report on IOM results. The main burden falls on COs, which report to UN INFO on progress made against the SDG and within the UN Sustainable Development Cooperation Framework (UNSDCF).

JIU Component: Leadership

In the process of being mainstreamed: To a certain extent, senior managers demonstrate leadership and commitment to the operationalization of a RBM approach in strategic decision-making on ad hoc basis. They demand information on all levels of results and on the capacity to deliver results (as well as the means to achieve them), to inform decision-making. Some of the indicators listed on the JIU framework for this component are met.

Under this component, the JIU framework aims at assessing the extent to which leadership (executive heads, senior and line managers) visibly demonstrate an active commitment to mainstreaming RBM within the Organization.

As mentioned under previous sections, senior management has supported the development of the RBM formally, for instance by approving the SRF and with the SRF roll out to standardize the process

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[32] UN INFO is an online planning, monitoring and reporting platform that digitizes the UN Country Teams' results frameworks (either the Development Assistance Framework or the Sustainable Development Cooperation Framework).

of becoming more strategic at all organizational levels. However, the evaluation identified factors having limited the capacity to strengthen leadership in RBM:

Insufficient legitimacy of the RBM Unit to push the RBM agenda across the Organization: This was mainly due to a limited strategic role the RBM Unit had before 2022. As a result, the design and launch of the SRF was considered challenging by RBM staff due to limited sponsorship and championing.

The operating RBM architecture where the monitoring function is not yet fully integrated within RBM approach: The institutional transfer of monitoring as a management function[33] from EVA to the RBM Unit happened recently and is expected to provide additional leadership and responsibility for embracing RBM across the Organization more effectively. A new Monitoring Policy replacing the one of 2018 is under development by the Unit.

The limited attention given to the network of champions: This was particularly the case during the process of designing and validating the SRF.

At the management level, the buy-in process remains highly individualized: Staff with previous experience in other UN agencies/entities and/or with strong knowledge of RBM in IOM are pushing for a more standardized approach, noting also that RBM is not consistently included in the agenda of global CoM meetings for instance.

Managers represent 30 percent of the total number of informants surveyed (53 out of 177 respondents). In general terms, managers expressed their involvement in the key activities of RBM integration, namely the strategic planning and/or participating in relevant training, designing the SRF, developing questions or using data from the IQ and OEE survey, as well as being involved in RBM approaches at the project development level. They expressed less participation when it comes to integrating the SRF into PRIMA (this function only become possible in February 2022).

JIU Component: Use of results

In the process of being mainstreamed: The Organization is making efforts to mainstream RBM, mainly through advocating for the use of results information in management and the strengthening of systems generating results information (outcomes). Mechanisms to ensure the systematic availability of results information at the various decision-making levels of the Organization are being established. Most of the JIU indicators for this component are met.

This component assesses the extent to which conditions for the demand and use of results information to support decision-making by managers and staff at all levels in the Organization are enhanced. A mature culture of results shows a high degree of the use of results information at all levels of the Organization to guide accountability, learning and improvements, and set directions or alternatives for enhancing success in short-, medium-, and long-term goals[34].

IOM meets JIU criteria as a clear and shared vision of the significance of outcome data and the function it ought to serve in managing the Organization are present. The results information is valued by IOM staff at all levels. The IOM evaluation function is also set up to provide comprehensive information on what strategies, techniques, and interventions work. In addition, specific measures are considered towards ensuring that the results information system is fit for purpose, cost-effective and produces good-quality data and information for decision-making.

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[33] As stated in both the MOPAN assessment (2017-2018) and the UNEG/OECD Peer Review of IOM´s Evaluation Function
[34] JIU Note 2017/ Results Based Management in the UN system, Pag 112

The current results system has however limitations as already expressed in the report, considering that the systematic and reliable aggregation of results is not yet completely functional in IOM, affecting the capacity to fully use it in decision-making, resource (re)allocation, or strategy and policy revision. Data reliability and data disaggregation are two important limitations currently faced for the effective use of results information, but they will be addressed with the full implementation of the SRF and effective use of PRIMA for results monitoring and reporting as underlined previously.

Institutional Integration of the SRF

One of the main objectives of the work done on the SRF is to have it becoming IOM's main institutional reference for RBM approach and an illustration of a well-established results culture. The framework should also demonstrate internal consistency by integrating several existing systems that contribute to the set-up of RBM, including cross-cutting issues.

> ➢ *Are IOM RBM policies, strategies, systems, and approach relevant to the needs of Member States, donors and IOM's mandate?*

The SRF has been integrated into IOM strategic frameworks through a phased approach as already mentioned. **Phase I** took place in 2021, when RBM Unit focused on familiarizing key RO and CO staff with the SRF's purpose and content, as well as aligning regional and country strategies with the Strategic Vision through the SRF.[35] Linking country level strategic planning to the SRF will allow progress towards the strategic objectives to be measured more systematically. Where country strategies can be closely aligned not only with the Regional Strategy, but also with the SRF and its indicators, progress tracking and reporting over time will be simplified. The Regional Strategy serves as the political and overarching framework for regional priorities, while the SRF measures results and demonstrates progress towards strategic objectives through aggregation based on common indicators. A dedicated SRF Roll out package was developed, including Q&As, a standard presentation with talking points, and a 2-pager, in response to requests from ROs.

At the central level, the process of designing the SRF started in early 2020, and was reported as being highly consultative, involving many focal points from different thematic divisions to ensure the final set of goals relates to the existing Strategic Vision. The RBM Unit also carried out an extensive mapping exercise to address and reflect the main features of the different frameworks, which the Organization reports to, in the new SRF.

The regional strategies were already quite developed when the process of piloting the SRF started. For this reason, the regional strategies may have a different structure than the SRF, tailored to the regional context. In the EHoA RO, the integration of the SRF was done in consultation with the RBM Unit, and the regional strategy was linked to the existing SRF down to the output level, and outputs, outcomes and indicators were linked to the possible extent with the SRF. The process was reported to be flexible and adaptable, allowing the aggregation of results for reporting.

At the country level, there was no requirement for COs to develop strategies. In both case-studies (Kenya and Costa Rica), the strategies were aligned to the extent possible with the SRF for reporting purposes. In the case of Kenya, the country strategy was revised following an early version of the SRF, with no targets or baselines. The RO has also developed a results matrix for the regional strategy taking

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[35] The logical flow is Strategic Vision – Regional Strategy – Country Strategy. The regional strategies set the regional prioritization, and Country Offices can draw from the conducted analysis and define their in-country work on that basis. The SRF supports this process of prioritization by providing clear language that can be used in the document and by illustrating which strategic objectives the different areas of work contribute to.

into consideration the initial version of the SRF. However, the integration of the SRF framework has been difficult to apply in contexts such as the work with refugees. The perception is that the need for the SRF to be applicable to a variety of contexts makes it difficult to be specific enough in certain areas. Nonetheless, the integration process is considered flexible enough to ensure COs integrate those aspects, including into results matrices.

Costa Rica linked its strategy 2022-2026 to the SRF[36], hiring a consultant familiar with the SRF, to work jointly with the IOM staff. Efforts are currently made to monitor the Country Strategy using the SRF indicators, even if some will need to be modified. The CO is also creating outcome statements that are similar to the ones in the SRF and are linking the Country Strategy with the UNSDCF and the GCM using the SRF as a guide.

Phase II (Integration of SRF indicators) was initiated by the RBM Unit to enable systematic result-based reporting through PRIMA. In line with the MOPAN recommendations, the RBM Unit started a process of validating and prioritizing common indicators in Q3 2021, jointly with HQ Departments and ROs. Throughout 2022, RO focal points were updated on the SRF process through bi-weekly calls, with draft SRF indicators presented in Q2 2022. RBM Unit organized a global ROMEO-RPDO retreat at Headquarters in September 2022, where the RO focal points were further briefed on the final SRF. In 2022 the SRF programmatic indicators were finalized and approved by IOM Deputy-Director General.

The integration of the SRF indicators into projects was tested by the IOM Development Fund, which made mandatory the linking of all interventions funded to the SRF indicators in 2022. The Fund representatives reported a positive experience as the team was able to allocate indicators to expected outcomes, even though some of the projects were cross-thematic. The final list of programmatic indicators was finalized in July 2022.

Integration of the CC indicators

The MIRAC Report 2019-2021 highlights that IOM has made notable strides in reporting on gender mainstreaming in its projects, as supported by the inclusion of gender at a programmatic level by 159 offices, which is a 39 per cent increase from 2017 (114 offices).

However, limited information related to the implementation of the CC indicators was collected through the interviews. At the global level, there was an integration of quite a few indicators that were considered fit for purpose. One of the main challenges mentioned regarding the implementation of CC issues is the multitude of diverse donor requirements that need to be captured in a meaningful manner, and per for IOM's thematic aspects. Specifically, in smaller interventions it may be more difficult to justify and integrate CC issues due to a lack of prioritization. It is imperative that the PRIMA system contains this information to accurately document the implementation process.

Even if gender equality or age markers are present, in certain cases limitations in measuring the integration of these aspects were noted at a global level. Surveyed staff pointed out that the type of CC indicators they experienced limitations with are DI, GE and HDPN related indicators. Some informants stated that there is a requirement for consensus on the interpretation of CC issues, as they differ based on the definitions presented in the various frameworks.[37]

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[36] https://costarica.iom.int/es/plan-estrategico-2022-2026-oim-costa-rica
[37] More information on the integration of CC indicators in Kenya and Costa Rica included in Annex 4.

Integration of the OEE indicators

The OEE indicators, although used by all UN organizations, are not standard indicators since each organization adapts the indicators to their needs and mandate. A review of different UN agencies was internally done, and the indicators that were more consistently used are those included in the QCPR. The RBM Unit, together with the IGF, adapted OEE indicators to the needs of the Organization, keeping account of good practices from other UN agencies as well as IOM´s Strategic Vision.

Adequacy and use of SRF indicators

As already mentioned, the results of the survey show common agreement on the adequacy of the SRF to meet the needs of IOM daily work. One out of every three respondents (including National Officers, Professional staff, and Directors) even consider "very adequate" the SRF to meet their needs. Around 20 percent of respondents confirmed not having used SRF indicators yet and 10 percent claimed not having experienced problems for using them. Those who experienced problems (70 percent) mainly referred to limitations in linking SRF indicators with other IOM programme or project results frameworks, when feeding and disaggregating SRF indicators, and when linking SRF indicators to reports of the UN framework.

Main opportunities and challenges for the integration of the SRF

Staff started to acknowledge the benefits of PRIMA, as highlighted in the interviews and case studies, for the system's ability to aggregate the results of individual projects and present a comprehensive narrative of regional and global coverage and outcome. Informants also expressed that, once the project framework is incorporated into the system, the monitoring process is expected to be facilitated, and that the tracking of main changes and reporting is straightforward.

The PRIMA SRF Dashboard clearly delineates the data per country in PRIMA, identifies gaps and limitations and visualizes projects alignment with the SRF outcomes. This can be further supplemented with data from other sources, such as the DTM. PRIMA allows users to view projects and programmes implemented in any country, the progress of completion, timeliness for donor reporting, as well as burn rates.

The PRIMA SRF Wizard is an automated system that provides suggestions for the selection of SRF outcomes and indicators based on project's thematic area and information entered on a particular area of the intervention. When a short-term outcome is selected through the Wizard, a series of relevant indicators are suggested to the user. The Wizard is expected to simplify the process significantly when it comes to rolling out the SRF globally.

The PRIMA SRF Wheel is an online tool that links the SRF programmatic objectives and outcomes with regional priorities, SDGs and GCM objectives. It is a tool considered convenient by informants, especially at the country level, as it links SRF with different IOM frameworks, UN INFO and UNSDCF.

The main challenges to the effective integration of the SRF into PRIMA include:

PRIMA monitoring module is not widely used despite the potential to collect and use data to assess the progress in project implementation as already mentioned previously.

PRIMA is not always easy to use. For instance, several informants at CO's level reported that navigating PRIMA can be challenging and time consuming due to connectivity issues, resulting in extended waiting times due to limited internet bandwidth. Informants also highlighted that they need time and training to get used to all PRIMA functionalities.

PRIMA is designed to aggregate numerical data, and not to aggregate and analyze qualitative data. Therefore, when examining SRF indicators, even at the outcome level, the analysis can be done based on quantitative information. Nonetheless, the Knowledge Management team is proposing to add open-ended questions to PRIMA to capture good practices, lessons learned, and innovative approaches identified during the project cycle to facilitate a more comprehensive analysis.

Adequacy of the RBM approach to Member States and donors' needs

As agreed during the inception phase, Member States were not contacted during the evaluation given the early stage of implementation of the new RBM approach. The results of the desk review of the 2021 and 2022 documents of IOM Standing Committee on Programmes and Finance (SCPF) discussing RBM, and related reports to the IOM Council, reveal however a clear and unequivocal interest from Member States for the adoption of a full-fledged RBM approach. Relevant quotes reveal their interest for the development and roll-out of the SRF[38], the incorporation of the RBM approach into IOM Development Fund´s projects[39], as well as the efforts made to address the RBM related recommendations made in the 2019 MOPAN review[40], commending the steps taken towards reinforcing IOM RBM while encouraging Member States to consider providing IOM with more flexible core funding[41].

Other documents reviewed also reflect the interest of donors in applying a RBM approach, as in the case of the recently negotiated agreement with the Foreign Commonwealth and Development Office (UK), where specific reference is made to results reporting at project levels. The Government of Australia in its agreement with IOM currently under development, also makes specific reference to RBM, asking IOM to "prioritize RBM supported by enhanced monitoring, evaluation and reporting systems that demonstrate impact, disaggregated by gender, sex, age and disability" [42]. During annual consultations with donors, interest for RBM was expressed, as in the case of the annual consultation with Denmark, which underlined the "importance of the RBM and the SRF to demonstrate the most value for money and to ensure accountability towards Danish stakeholders"[43] and requested specific updates on the process of developing and rolling out the SRF.

During interviews, DRD confirmed that Member States and donors are generally keen to understand how the SRF development process is going. Although they are not conditioning their funding to the full implementation of the SRF, they want to remain updated on progress. The Division acknowledges that being more strategic means more opportunities for receiving unearmarked funding, as explicitly mentioned by Member States.

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[38] SCPF 30th session report to the Council (2022) p.4 §19
[39] SCPF 28th session (2021) p. 25 §176
[40] SCPF 29th session (2021) p. 5 §21
[41] SCPF 29th session (2021) p. 5 §51
[42] Strategic Partnership Framework with The International Organization for Migration (IOM) 2022-2027
[43] IOM/Government of Denmark Annual Consultations, Summary Note, 29 April 2022

3. CONCLUSIONS

Strategically, IOM has taken important steps towards integrating RBM at all organizational levels, including with the ongoing development of a comprehensive RBM strategy and relevant measures towards strengthening accountability frameworks. The new Strategic Vision and Strategic Planning cycles are being prepared for the period 2024-28, and there is an opportunity to ensure continuity with the RBM strategy, maintaining also sustained senior leadership support to the implementation of RBM at IOM. With the noticeable increase of core funding allocated to the RBM Unit, prospects for the effective implementation and sustainability of the SRF are strong. However, clear roles and responsibilities for RBM implementation are still to be fully defined, as well as a comprehensive change framework to track progress towards the achievement of RBM goals. It remains important to regularly assess how well RBM is understood as a comprehensive management and strategic tool, with implications for behavioral and attitudinal changes within IOM.

Operationally, IOM´s corporate SRF is finalized, and the piloting process has started, which will also offer valuable lessons to inform the next strategic vision and planning cycles. The roll-out should be able to confirm the SRF´s potential and relevance, and to raise awareness on its importance. Whilst changes and adjustments are expected following the 12-month piloting and testing period, the core concept, indicators and logic are expected to remain identical.

Despite efforts made towards facilitating the integration of the SRF into projects and programmes, SRF operationalization at that level remains a challenge given the number of indicators as well as the lack of a comprehensive ToC, which elaborates on how change is about to happen and what are the main internal and external assumptions to be considered by IOM staff developing and managing projects. The piloting period is expected to support the fine-tuning of the SRF indicators and their use, including for their contribution to the definition of mid- and long-term goals and the measurement of the projects' results and overall impact.

Regarding RBB, the groundwork for integrating it in IOM has been laid, but the process is still at its enfant stage, without well-defined roadmaps, and resource mobilization and investments plans. However, the implementation of the new Enterprise Resource Planning (ERP) [44] system, which is currently on-going, will be instrumental for the transition to RBB at an institutional level. Qualified staff and training on RBB will need to be considered.

IOM's funding architecture relies heavily on earmarked funding, which impedes the Organization's ability to invest in core functions and flexibility to align resources with strategic and institutional priorities agreed upon with IOM Member States. In that context, the institutional commitment towards RBM deserves to be underlined with the use of IOM limited un-earmarked contributions to support the set-up and work of the RBM Unit, and the allocation of core resources for RBM staff at HQ. This financial investment in RBM has considerably increased since 2021 and needs to be sustained with predictable multi-year funding.

In terms of performance monitoring, expectations on institutional results are defined, but improvements can still be made on measurement and reporting. Mechanisms are not yet fully in place to provide timely evidence of progress in achieving these results. The lack of guidance on indicator

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[44] https://www.iom.int/sites/g/files/tmzbdl486/files/erp_platform_selection_eoi_background_information.pdf

metadata, of clear definitions of roles and responsibilities, the need for more M&E staff to take on such roles, and the mandatory use of the monitoring module in PRIMA need to be addressed in support of RBM implementation and strategic use of the SRF.

With regard to reporting on results, there is still a disconnection between global, regional, national, and subnational levels, but the integration of the SRF into PRIMA represents a great opportunity for IOM to connect all the dots between the central-level planning down to the country level programming. As a tool to support the process, PRIMA needs to be user friendly with broad institutional buy-in and allocation of resources for capacity building and for project support functions at RO and CO levels so they can comply with all results-based information and reporting requests and institutional requirements.

Efforts to develop **RBM capacities** deserve to be noted and IOM staff overall expressed a reasonable agreement of their preparedness to implement RBM. Nonetheless, the readiness is lower at the regional and country level. The lack of a rollout package for RBM integration and limited Knowledge Management system for RBM purposes may partially explain these differences.

Finally, IOM staff show a **clear understanding of the RBM approach** and what it entails for the Organization. This can support IOM's transition from an activity-focused mindset to a results-oriented one. However, this does not necessarily translate into engagement towards RBM integration and implementation. The limited attention to the development of a network of champions is an example as this can adversely impact RBM integration. However, most of the limiting factors for institutional buy-in have been or are being addressed.

4. RECOMMENDATIONS

Four main recommendations are made, distributed under the topics of: i) Strategic management, ii) Operational management, iii) Accountability and learning, and iv) Capacity and engagement.

Recommendation 1: Continue supporting RBM strategic management through:

- **The finalization of the RBM strategy**, with a mid and long-term view that reflects the results of the roll out process and contributes to strengthening the relevance and adaptability of the SRF. In addition, developing an RBM policy, also covering results-based monitoring, evaluation, and knowledge should be considered, which will consolidate RBM integration at the highest strategic levels.

- **The development of a change management strategy**, to keep track of the achievements of the integration of RBM. UNFPA´s 3+5 model in combination with the Joint Inspection Unit (JIU) framework could be used as basis for development, to include SMART indicators, baselines, and targets. It should be used as a self-assessment model that can be applied to all levels, i.e., global, regional, and country.

- **The anchoring of the SRF as the IOM institutional results framework** adapted to IOM five-year Strategic Vision (as it may be updated) to ensure a clear direction of RBM efforts towards the integration of the SRF for measuring Organization's results achievement.

Recommendation 2: Enhance operational management through:

- **The development of a Theory of Change (ToC) for the SRF** to enhance the understanding of the changes brought by the SRF in the implementation of IOM´s corporate strategy and its related priorities. The ToC should also reflect the linkages between various IOM key strategies, frameworks, expected results and resources required, including the sources of financing.

- **The finalization of the guidance on indicator metadata for SRF** to enhance a shared understanding of SRF indicators. It will increase the reliability of data collection during the organization-wide roll out process. It could be accompanied by the issuance of a monitoring and evaluation plan for the roll out of the SRF, indicating key activities, responsibilities, timeframes, costs, and the periodicity of data collection and reporting.

- **The prioritization of the SRF indicators** in line with the current Tier System and based on the results of the pilot phase of SRF integration. The IQ preparation should be simplified as a result of SRF integration in PRIMA and used as a complementary data collection and validation tool for specific areas, providing qualitative data to supplement quantitative data collected through PRIMA.

- **The gathering of baseline information to set targets for the SRF**, which will enhance results-based reporting for the Annual Report among other reporting needs.

Recommendation 3: Strengthen the organizational accountability and learning through:

- **An instruction making mandatory the compliance with PRIMA monitoring module** and identifying related capacity development needs to support it.

- **The enhancement of PRIMA user experience and depth of information provided**: This could involve various initiatives, such as populating fields automatically where possible to streamline the indicator-feeding process, incorporating open-ended fields to capture good practices and innovative approaches identified during the project cycle, which could eventually be complemented with the qualitative data gathered through the IQ.

- **The development of a guidance package for the integration of RBM approach** within the Organization, including RBM roles and responsibilities in line with what will also be defined in the current revision of the IOM's Project Handbook about project development and management.

- **The centrality of knowledge management in the integration of RBM and the SRF** by strengthening collaboration between the RBM and the Innovation and Knowledge Management (IKM) Units, for instance in maximizing the potential of the Policy Exchange and Learning on Migration (POEM) platform[45] and the use of PRIMA dashboards, and in creating a community of practice to foster an RBM culture.

Recommendation 4: Enhance capacity and engagement towards RBM through:

- **A strengthened role and influence of the RBM Unit in the UNSPN** by consolidating its proactive approach and sharing of IOM's experience with other UN agencies.

- **The development of a network of RBM focal points and champions** while exploring the possibility to allocate additional core funding to support RBM roles and ownership at the regional and country levels, and to offer relevant training on the integration of RBM and the SRF.

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[45] https://www.youtube.com/watch?v=9v23Bn7zOGs&ab_channel=IOM-UNMigration

ANNEX 1 – EVALUATION MATRIX

Criteria	Main concepts covered	Evaluation questions	Indicators	Mode[46]	Sources	IOM	Donors
RELEVANCE	**Key concepts:** Alignment of RBM policies and strategies to international standards and the needs and expectations of main stakeholders at the Global, Regional and Country levels. Strategic management.	Q1. Are IOM's RBM policy(ies), strategy(ies) and system(s) framing and supporting its implementation **relevant to international standards** and in line with best practice in other UN system agencies as identified by JIU? Linked to pillar 1 of the JIU	1.1 Level of representativeness of the different elements identified in the JIU benchmarking framework, in the IOM RBM 2019-23 strategy and the new Strategic Planning 2024-28.	DR	Annual reports, IOM internal policies, guidelines and frameworks, etc.	-	-
			1.2 Level of evidence-based integration of lessons learned from previous phases into the IOM RBM 2019-23 strategy.	DR	Annual reports, monitoring and evaluation reports, systems, etc.	-	-
		Q2. Is RBM approach relevant to meet the **needs and expectations of IOM, Member States, and donors**, and is it applicable to all areas of work of the Organization? Linked to pillar 1 of the JIU	2.1 Level of adequacy of the current SRF to IOM´s mandate at the global, regional and country levels.	DR / KII	IOM internal policies, guidelines and frameworks, etc. Qualitative analysis.	X	X
			2.2 1 Intersubjective agreement among key stakeholders on the level of adequacy of the RBM 2019-23 strategy to their goals and needs.	KII / S	Primary sources: qualitative analysis and questionnaires. Case studies 1 and 2.	-	X
		Q3. What can IOM **learn from** RBM frameworks and **practices of other Organizations**? Linked to pillar 5 of the JIU	3.1 Identification of main areas and opportunities to strengthen IOM RBM approach based on approaches and experiences from other organization.	DR / KII	Benchmark analysis, Qualitative analysis.	X	-

Criteria	Main concepts covered	Evaluation questions	Indicators	Mode[46]	Sources	IOM	Donors
RELEVANCE	**Key concepts:** Consideration of CC issues into the RBM Strategic Vision and framework	Q4. To what extent are **cross-cutting issues** reflected in the SRF results statement?	4.1 Level of incorporation of cross-cutting issues (the triple nexus, GE, including GBV, disability-based approach, human rights, youth, environmental sustainability and AAP) into the RBM Strategic Vision, and the SRF?	DR / S	IOM internal policies, guidelines and frameworks, RBM documents, SRF, etc. Qualitative analysis.	X	-
EFFECTIVENESS	**Key concepts:** SRF Result / outcome achievement. Accountability management	Q5. To what extent have the **IOM targets for the implementation of RBM (including CC issues) been achieved** at this stage of the implementation (as seen in global, regional, and national efforts)? Linked to pillar 3 of the JIU	5.1 Level of achievement of the SRF outputs and outcomes at the global, regional and country levels.	DR	Annual reports, M&E reports, systems, etc.	-	-
			5.2 Level of achievement of cross-cutting issues included in the SRF.	DR	Annual reports, M&E reports, systems, etc.	-	-
			5.3 Identification of collateral effects, intended and unintended, positive and negative.	DR / KII	Annual reports, M&E reports, systems, etc. Qualitative analysis	X	-
	Key concepts: Effectiveness of implementation strategies and delivery, including cross-cutting issues. Adequacy of the implementation strategy. Operational management	Q6. Has the **RBM implementation** facilitated the establishment of results-oriented strategic approaches and accountability within the Organization? Linked to pillar 2 of the JIU	6.1 Level of achievement of the Operational Effectiveness and Efficiency indicators, particularly those focused on operational excellence.	DR	Annual reports, M&E reports, systems, etc.	-	-
			6.2 Identification of strengths and weaknesses of the RBM approach implementation as per review and key stakeholders' feedback, and alignment between implementation theory and practice.	DR / KII	Annual reports, M&E reports, systems, etc. Qualitative analysis. Theory of Change. Case studies 1 and 2.	X	X
			6.3 Identification of lessons learned and good practices from the implementation process to inform future strategies and the development of a culture of results in IOM, as per review and key stakeholders' feedback.	DR / KII	SRF M&E system and reports, information systems, etc. Qualitative analysis.	X	-

Criteria	Main concepts covered	Evaluation questions	Indicators	Mode[46]	Sources	IOM	Donors
		Q7. How effectively are **crosscutting issues mainstreamed in the implementation** of the RBM approach? <u>Linked to pillar 2 of the JIU</u>	7.1 Assessment on the extent to which CC issues were mainstreamed in the implementation process.	DR / KII / S	Annual reports, M&E reports, systems, etc. Qual/Quan analysis. Case studies 1 and 2.	X	-
			7.2 Identification of key issues contributing to or hindering the adequate implementation of CC issues.	DR / KII	Annual reports, M&E reports, systems, etc. Qualitative analysis.	X	-
EFFECTIVENESS	**Key concepts:** Effective M&E, reporting and information management systems. Development of a RBM culture and organizational learning. Accountability and learning management.	Q8. How **effectively does IOM monitor, evaluate and report** on the implementation of the RBM approach? <u>Linked to pillar 3 of the JIU</u>	8.1 Expert assessment of the M&E framework, considering key elements such as metadata, risk assessments, etc. that allow for an effective follow up of the SRF, the focus on results reporting and the extent to which informed decisions are taken accordingly.	DR / KII	SRF M&E system and reports, information systems, etc. Qualitative analysis. Case studies 1 and 2.	X	-
		Q9. Have the **information systems and tools** in place been effective in supporting the implementation of RBM and the pressing demands in different context and levels of complexity faced? <u>Linked to pillar 3 of the JIU</u>	9.1 Level of integration of existing system and approaches, including PRIMA (and the Wizard), the IQ, and the Annual Reports and the SRF towards supporting the implementation of RBM, reporting at all levels (global, regional and country), and reinforcing RBM culture in the Organization.	DR / KII / S	SRF M&E system and reports, information systems, etc. Qual/Quan analysis. Case studies 3 and 4.	X	-
	Key concepts: Adequate capacity in place and guidance to implement RBM.	Q10. Has IOM staff received the necessary **training, tools and guidance** to implement RBM in IOM? <u>Linked to pillar 4 of the JIU</u>	10.1 Intersubjective agreement among IOM staff at HQ, regional and national levels on the adequacy of the training provided (Harvard training, Global Framework, RBM e-learning), the use of information systems.	DR/S	Strategic and operational docs at all levels. Qualitative/Quantitative analysis. Case studies 1 and 2.	X	-
			10.2 Intersubjective agreement among IOM staff at regional and country level on the guidance provided by HQ and regional office towards implementing the RBM approach.	DR/KII/S		X	-

Criteria	Main concepts covered	Evaluation questions	Indicators	Mode[46]	Sources	IOM	Donors
COHERENCE	**Key concepts:** Internal coherence. Coordination, and collaboration. Internalization, ownership, leadership and collective accountability.	Q11. What is the level of **internal coordination and collaboration** reached across levels (HQ/Regional/national) for the consistent implementation of RBM that fosters RBM culture within the Organization? Linked to pillars 4 and 5 of the JIU	11.1 Evidence and intersubjective agreement among IOM staff on the level of coordination and collaboration[47] reached across levels for the implementation of the RBM approach.	DR / KII / S	Annual reports, monitoring and evaluation reports, systems, etc. Qual/Quan analysis. Case studies 1 and 2.	X	-
			11.2 Level of a shared understanding of the concept and purpose of RBM at IOM and among key stakeholders.	KII / S	Qual/Quan analysis. Case studies 1 and 2.	X	-
			11.3 Evidence and intersubjective agreement among IOM staff on the level of awareness and buy-in contributing to foster RBM culture in the Organization.	DR / KII/ S	Strategic and operational documents. Qual/Quan analysis. Case studies 1 and 2.	X	
			11.4 Level of contribution of the network of RBM champions towards fostering a RBM culture in the Organization.	DR / S		X	-
	Key concepts: External coherence. Harmonization in the implementation of the RBM approach.	Q12. To what extent does IOM guarantee **external coherence** and harmonization in the implementation of its RBM approach? Linked to pillars 3 and 5 of the JIU.	12.1 Evidence and intersubjective agreement among IOM staff on the extent IOM applies its RBM approach when reporting on its contribution to the 2030 agenda (via UNINFO), and the contribution to Global Compact for Migration (GCM, via the UN Migration network)[48]	DR / KII	Strategic and operational documents. Qual/Quan analysis. Case studies 1 and 2.	X	-

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[47] Coordination defined as working separately to achieve consistently shared RBM goal and collaboration defined as working together to achieve consistently shared RBM goals.

[48] RBM Update TO Regional Offices, 2020: "*Reporting requirements are increasing on all fronts. Among those, IOM reports on its contribution to the 2030 Agenda to several UN boards including the CEB; on our contribution to the GCM, including via the UN Migration Network; and at the country level, on the SDGs via UNINFO)*".

Criteria	Main concepts covered	Evaluation questions	Indicators	Mode[46]	Sources	IOM	Donors
EFFICIENCY	**Key concepts:** Adequate allocation and use of resources (financial, human, technical, including systems in place) to support the implementation of RBM at the corporate, regional and national levels.	Q13. Is the **Strategic Results Framework** developed for the Strategic vision adequately and efficiently **applied at regional and national levels**?	13.1 Level of alignment and translation of the SRF to the regional and country strategies.	DR / KII	Strategic docs at global/regional and country level. On line SRF tool. Case studies 1 and 2.	X	-
		Q14. To what extent are the **different mechanism for identification, planning and budgeting** influencing decision-making and implementation of the RBM approach towards guaranteeing sustainability?	14.1 Level of adequacy of the resources available (personnel and know-how) to implement the RBM approach	DR/KII/S	Strategic and operational docs at all levels Qualitative/Quantitative analysis. Case studies 1 and 2.	X	-
			14.2 Evidence on the extent to which the different funding modalities are complementary towards influencing decision-making and the implementation of the approach.	DR / KII		X	X
			14.3 Level of integration of RBB at global, regional and country levels.	DR / KII		X	
			14.4 Extent to which the timeframe for the implementation of the RBM priority actions has been/is sufficient to achieve expected goals.	DR/S		X	-
		Q15. What **additional resources** may still be needed to further reinforce an RBM culture in IOM (for instance through training, recruitment of staff dedicated to RBM, promotional tool, fundraising, consolidation of reporting mechanisms, etc.)?	15.1 Identification of additional resources needed to reinforce an RBM culture within IOM.	DR / KII	Strategic and operational docs at global/regional and country level. Case studies 1 and 2. Qualitative analysis.	X	-
			15.2 Identification of potential alternative strategies to ensure systems in place are more adaptive, flexible and cost effective towards supporting the implementation of the RBM approach at the global, regional and national levels.	DR / KII	Strategic docs at global/regional and country level. On line SRF tool. Case studies 1 and 2.	X	-

ANNEX 2 – PROPOSED THEORY OF CHANGE (ToC)

This preliminary version of a global ToC comprises the strategies, assumptions, outputs, outcomes, and goals considered for an effective integration of RBM in IOM.

The proposed ToC represents an attempt to capture the complexity of RBM. This draft is expected to be revised as the development of a ToC should be a participatory and iterative process. It can be a good starting point to generate an internal discussion on how the different internal initiative can contribute to RBM strategic goals, and how these goals are expected to materialize.

The proposed ToC includes the following key elements:

- **Processes**: that are put into action to deliver first level, short-term outputs. Strategies comprise a wide range of activities, and they are linked to one or several of the bottlenecks identified.

- **Assumptions**: are the necessary conditions for the expected changes to occur at the different levels. In some cases, the programmes have limited or no influence in the occurrence of the assumptions but need to consider countermeasures to limit potential adverse impacts and maximize results under favorable conditions.

- **Feedback loops**: positive loops occur when an increase in one area leads to an increase in another one in a domino, or spiral effect. An improvement in internal and external reporting on IOM´s institutional results will contribute to a stronger RBM culture, and a stronger RBM culture will positively contribute to an improved internal and external reporting and communication.

- **Outputs**: represent achievements directly linked to the strategies and activities carried out. They are changes in skills or abilities, or in the availability of new services, produced by an intervention or activity.

- **Outcomes**: represent institutional and behavioral changes in development conditions that occur between the completion of outputs and the achievement of goals.

- **Impact**: is the positive and negative medium and long-term effect on population groups produced by a development intervention, directly or indirectly, intended, or unintended.
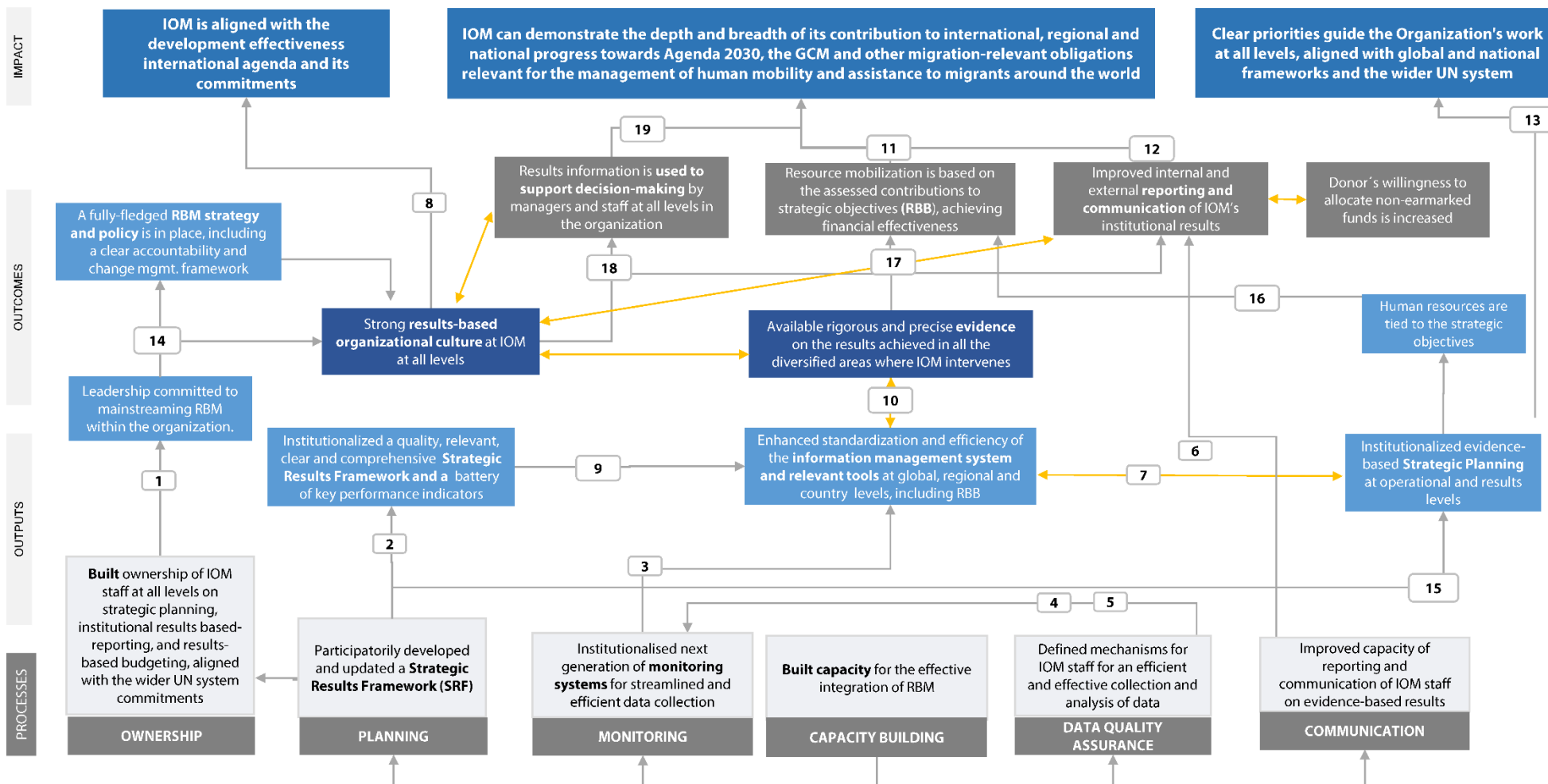
Underlying theory for each component

The global ToC presents the logical bottom-up sequence of how a set of strategies will contribute to the delivery of outputs once assumptions are materialized. Then, outputs will contribute to the achievement of outcomes and the latter to the global impact sought by the Organization. The ToC diagram is presented below.

THEORY OF CHANGE – RESULTS-BASED MANAGEMENT

Influence
Feedback loop
1 Assumptions

IMPACT

IOM is aligned with the development effectiveness international agenda and its commitments

IOM can demonstrate the depth and breadth of its contribution to international, regional and national progress towards Agenda 2030, the GCM and other migration-relevant obligations relevant for the management of human mobility and assistance to migrants around the world

Clear priorities guide the Organization's work at all levels, aligned with global and national frameworks and the wider UN system

19

11

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13

OUTCOMES

A fully-fledged **RBM strategy and policy** is in place, including a clear accountability and change mgmt. framework

8

Results information is **used to support decision-making** by managers and staff at all levels in the organization

Resource mobilization is based on the assessed contributions to strategic objectives (**RBB**), achieving financial effectiveness

Improved internal and external **reporting and communication** of IOM's institutional results

Donor´s willingness to allocate non-earmarked funds is increased

18

17

16

14

Strong **results-based organizational culture** at IOM at all levels

Available rigorous and precise **evidence** on the results achieved in all the diversified areas where IOM intervenes

Human resources are tied to the strategic objectives

Leadership committed to mainstreaming RBM within the organization.

10

OUTPUTS

1

Institutionalized a quality, relevant, clear and comprehensive **Strategic Results Framework and a** battery of key performance indicators

9

Enhanced standardization and efficiency of the **information management system and relevant tools** at global, regional and country levels, including RBB

7

Institutionalized evidence-based **Strategic Planning** at operational and results levels

6

2

3

4 5

15

PROCESSES

Built ownership of IOM staff at all levels on strategic planning, institutional results based-reporting, and results-based budgeting, aligned with the wider UN system commitments

Participatorily developed and updated a **Strategic Results Framework (SRF)**

Institutionalised next generation of **monitoring systems** for streamlined and efficient data collection

Built capacity for the effective integration of RBM

Defined mechanisms for IOM staff for an efficient and effective collection and analysis of data

Improved capacity of reporting and communication of IOM staff on evidence-based results

| OWNERSHIP | PLANNING | MONITORING | CAPACITY BUILDING | DATA QUALITY ASSURANCE | COMMUNICATION |

ASSUMPTIONS

1. Active support from the hierarchy of each Unit to embrace a results-based culture. Incentives in place, and a clear narrative on why RBM is essential for IOM spread across the Organization.

2. Consultation instances are recognised internally, and feedback received and considered/reflected from all levels (global, regional and national). Organizational Effectiveness is also strengthen through active participation in the IGF processes.

3. Management information systems facilitate the collection of data for indicators

4. Effective integration of RBM management information systems at all levels, where the monitoring function is mandatory.

5. Effective data collection and analysis

6. Sufficient and relevant evidence collected and analysed on the results

7. Well defined roles and responsibilities

8. IOM's results-based organizational culture is recognised by the international community

9. The SRF of IOM is considered valid by the international community, supersedes previous frameworks and is backed up/remains relevant when global leadership swifts. ROs and COs design or revise country strategies, in line with the UNSDCFs and the UN Reform, while using the SRF as a basis for inspiration, with clear linkages identified to facilitate aggregate results reporting from the country to global level. This will include the development of a CO Strategic Planning Toolkit of guidance and tools.

10. Information systems are updated to match technological progresses, global targets are set in accordance to baselines.. The SRF and the IQ complement each other, and the latter is simplified.

11. IOM's evidence on its results achieved is recognised by the international community

12. Counter-narratives against IOM's approach on migration are discarded by the international community

13. Internal decision making processes are aligned with global and national frameworks and the wider UN system

14. RBM team champions IOM's approach to RBM as co-chair of the UN Strategic Planning Network. Internally, the champion network is fully developed.

15. SRF results are incorporated in the strategic planning

16. The rest of the internal human resources policies are aligned with strategic planning

17. Decision making incorporates the results-based culture

18. Resources mobilization incorporates the evidence of results achieved

19. Criteria to assess international, regional and national progress towards Agenda 2030, the GCM and other migration-relevant obligations relevant for the management of human mobility and assistance to migrants around the world are maintained

The following are the main pathways of reasoning and change included in the proposed ToC:

If capacity of IOM staff is built for the effective integration of RBM, **and if** a SRF is participatorily developed and updated, **and if** the next generation of monitoring systems for streamlined and efficient data collection are institutionalized, **and if** mechanisms are defined for IOM staff for an efficient and effective collection and analysis of data.

Given that consultations are recognized internally, and feedback is received and considered/reflected from all levels (global, regional, and national); **and that** organizational effectiveness is also strengthened through active participation in the IGF processes; **and that** management information systems facilitate the collection of data for indicators; **and that** SRF results are incorporated in the strategic planning.

Then a quality relevant clear and comprehensive SRF and a battery of key performance indicators will be institutionalized; standardization and efficiency of the information management system and relevant tools at global, regional, and country levels (including RBB) will be enhanced; and evidence-based strategic planning will be institutionalized at operational and resource levels.

If strategic evidence-based planning is institutionalized at operational and resource levels, **then** clear priorities will guide the Organization's work at all levels, aligned with global and national frameworks and the wider UN system; **given that** internal decision-making processes are aligned with global and national frameworks and the wider UN system.

Also, institutionalizing strategic evidence-based planning at operational and resource levels will have an influence in tiding HR to the strategic objectives. If that happens, **then** resource mobilization will be based on the contributions to strategic objectives (RBB) achieving financial effectiveness; **given that** the rest of the internal human resources policies are aligned with strategic planning.

How mechanisms are defined for IOM staff for an efficient and effective collection and analysis of data has an **influence** on how the next generation of monitoring systems are institutionalized for streamlined and efficient data collection; **given** an effective integration of RBM management information systems at all levels where the monitoring function is mandatory, **and** effective data collection and analysis.

Institutionalizing a quality, relevant, clear, and comprehensive SRF and a battery of key performance indicators **influences** how information management systems and relevant tools will enhance their standardization and efficiency at global regional and country levels (including RBB); **given that** consultation instances are recognised internally, and feedback received and considered/reflected from all levels (global, regional and national), **and that** organizational effectiveness is also strengthened through active participation in the IGF processes. In turn, enhancing standardization and efficiency of the information management systems and relevant tools, and institutionalizing evidence-based strategic planning at operational and resource levels mutually influence each other **(feedback loop)**; **given that** roles and responsibilities are well defined.

If IOM builds ownership of its staff at all levels on strategic planning, institutional results based-reporting, and results-based budgeting, aligned with the wider UN system commitments, **then** leadership will be committed to mainstreaming RBM within the organization, **given** active support from the hierarchy to embrace a results-based culture, **given** a clear narrative on why RBM is essential for IOM spread across the Organization, and **given that** incentives are in place. This has an **influence** in the setup of a full-fledged RBM strategy and policy, including a clear accountability and change management framework. **If** that holds true and leadership is committed to mainstreaming RBM, **then**

IOM will develop a strong results-based organizational culture at all levels ('Outcome' line). **Given that** RBM team champions IOM's approach to RBM as co-chair of the UNSPN, **and that** internally, the champion network is fully developed.

If there is improved capacity of reporting and communication of IOM staff on evidence-based results, **then** there will be Improved internal and external reporting and communication of IOM's institutional results; **given that** sufficient and relevant evidence is collected on the results and analysed.

If IOM develops a strong resource based organizational culture, **then** it will align with the development effectiveness international agenda and its commitments; **given that** IOM's results-based organizational culture is recognized by the international community.

If there is enhanced standardization and efficiency of the information management systems and relevant tools at global regional and country levels including RBB, **then** rigorous and precise evidence on the results achieved in all the diversified areas where IOM intervenes will be available; **given that** information systems are updated to match technological progresses, global targets are set in accordance to baselines, the SRF and the IQ complement each other, and the latter is simplified. In turn, having rigorous and precise evidence on the results achieved by IOM and improving a results-based organizational culture mutually strengthen each other **(feedback loop)**; as it is the case between strengthening rigorous and precise evidence on the results achieved and the enhancement standardization and efficiency of the information management system and relevant tools.

If IOM develops a strong results-based organizational culture, **and if** rigorous and precise evidence on the results achieved in all the diversified areas where IOM intervenes is available, **then** results information will be used to support decision making by managers and staff at all levels in the Organization, resource mobilization will be based on the contributions to strategic objectives (RBB) achieving financial effectiveness, and internal and external reporting and communication of IOM's institutional results will improve; **given that** decision making incorporates the results-based culture **and that** resources mobilization incorporates the evidence of results achieved.

Improving internal and external reporting and communication on results and willingness of donors to allocate non-earmarked funds would mutually strengthen each other. And **given that** IOM's evidence on its results achieved is recognized by the international community, **and that** counter-narratives against IOM's approach on migration are discarded by the international community, **and that** criteria to assess international, regional and national progress towards Agenda 2030, the GCM and other migration-relevant obligations relevant for the management of human mobility and assistance to migrants around the world are maintained; **then** IOM will be able to demonstrate the depth and breadth of its contribution to international, regional and national progress towards Agenda 2030, the GCM and other migration-relevant obligations relevant for the management of human mobility and assistance to migrants around the world.

ANNEX 3 – BENCHMARKING ANALYSIS

Results Based Management is "a management strategy UN initiated in the 1990s by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products, and services contribute to the achievement of desired results (outputs, outcomes and higher-level goals or impact). The actors in turn use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting." As UN states, "there is no single 'road map' to RBM and each organization must adapt RBM to its specificities and mandates in the context of national priorities." However, learning from other organizations is useful to see how alignments with other UN agencies' practices can be considered.

To this end, information has been collected from four organizations: The United Nations Population Fund – UNFPA, the UN Refugee Agency – UNHCR, the World Food Programme - WFP, and the International Federation of Red Cross – IFRC. To facilitate comparisons, the analysis has been organised along five dimensions: i) Definition, institutional vision, and scope of RBM efforts; ii) Organizational structure for RBM; iii) Programmatic integration and measurement of RBM efforts; iv) Results frameworks; and v) Organizational learning.

SUMMARY OF FINDINGS

When it comes to RBM definition, institutional vision, and scope of RBM efforts, the four agencies incorporate RBM as a strategic system to deliver results in a more efficient manner, as well as to be able to evaluate and monitor the achievement of objectives through partially harmonized measurement systems. While the definitions across organizations share similar concepts around establishing impact and progress made and using results for decision making, the terminology used vary, and each agency may have nuances specific to their approach. For example, UNFPA and UNHCR scope of RBM makes specific reference to RBM seeking the "contribution of all stakeholders in achieving the organization´s objectives".

Concerning the organizational structure for RBM, all organizations confirm the need to apply RBM in a way that is adaptable to different projects and offices, consistent and reliable without imposing a rigid model. This is aligned with experiences captured though the case studies, where IOM ROs and COs explained that the pilot integration and use of the SRF was somehow adapted and additional ad-hoc indicators were added to regional and country strategies wherever needed. Similarly to IOM, the organizational structure of the four organizations follows a decentralized approach. In some cases, specific units/offices have been created to oversee the implementation of RBM, as in the case of WFP and IOM.

Regarding **financial allocations**, it has been difficult to find information on RBM budget allocations, and the information available is rather limited. Some agencies do indicate the budget lines for RBM in their strategic plans. This may suggest that there is variability in the way different agencies approach RBM implementation and finance it. As an example, UNFPA allocates earmarked funds for RBM through the first of its three Core Principles[49] *"Ensure that adequate and reliable results information is available when needed".*

As for the **programmatic integration and measurement** of RBM efforts, a diversity of approaches was encountered. The UNFPA developed a comprehensive RBM change management approach that is reflected in its 3+5 framework, which is intended to measure the extent to which RBM milestones are

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[49] UNFPA (2019) Results-Based Management Principles and Standards. The 3+5 Framework for Self-Assessment

being met across the agency. Used as a self-assessment tool (in a similar way as the JIU´s framework), the 3+5 framework consists of three core RBM principles plus five supporting principles. Each principle has an associated set of standards that capture the essential elements of RBM for generating and using results information. The primary focus of the 3+5 framework is to enhance the availability of results information and to manage adaptively through continuous learning. The other organizations (UNHCR, WFP and IFRC) do not track their RBM efforts directly, but the RBM integration is planned and carried out comprehensively at the different stages of project cycle, using results gathered for decision making and communication purposes.

The four organizations count with an overarching **Results Framework** that guides operations, presenting a system of high-level objectives (in all cases they are aligned with the SDGs), which are broken down into lower levels or objectives, and which are finally translated into results indicators. Most importantly, the organizations set clear and specific strategic targets that contextualize and provide the basis for global accountability.

UNFPA sets baseline data and targets in its integrated results and resources framework as part of its global strategic plan 2022-2025. [50] Under the principles underlying the development of integrated framework, UNFPA recognized having more direct control over the achievement of the outputs, and therefore being directly accountable for achieving the outputs and reaching expected results.

UNHCR monitors and tracks progress in the Impact and Outcome Areas considered in the COMPAS approach and its subsequent global results framework, which includes 52 core indicators. They measure progress against global standards at Impact level and regional and operational targets at Outcome level.

WFP´s corporate results framework 2022-2025 sets out the expected results and targets to be achieved by the organization, informing the design of country strategic plans (CSPs) and providing a basis for corporate monitoring, performance assessment and reporting[51]. WFP has identified a series of High-Level Targets (HLTs) that establish the level of ambition for each of the strategic outcomes considered. As stated in the corporate results framework, the HLTs are the closest representation of WFP's strategic plan commitments, organized by strategic outcome, and represent the organization's flagship aims and achievements. They articulate the primary drive behind each individual strategic outcome while demonstrating their interconnectivity and inherent complementarities. Progress towards achieving these targets will be evaluated annually through WFP's performance reporting process.

IFRC also sets multi-year targets on a biannual basis for each one of the strategic priorities defined in its global plan[52] (climate and environment, disasters and crises, health and wellbeing, migration and displacement and values, power and inclusion).

Finally, one of the cornerstones of Results Based Management is **organizational learning**. Therefore, the implementation of RBM should include a systematic approach to Knowledge Management. However, the information available on this topic is scattered, especially when it comes to the knowledge generated by the management model itself.

Some of the agencies collect and disseminate aggregated results on public websites. *UNFPA* makes results information available mainly through two tools, the "UNFPA results portal"[53] and the "Impact

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[50] UNFPA (2021) The UNFPA strategic plan, 2022-2025, (DP/FPA/2021/8) Annex 1
[51] WFP (2022) WFP Corporate Results Framework (2022-2025), WFP/EB.1/2022/4-A/Rev.1
[52] IFRC (2022) Global Plan 2023
[53] https://www.unfpa.org/data/results

40"[54] portal. The results portal not only provides an overview of its strategic plan and the SDGs, but also presents a clear picture of outcome achievement across thematic and geographic areas.

UNHCR counts with the "Operational Data Portal"[55], that currently provides data and information on all persons of concern to UNHCR. The portal presents an overview of each country and "active situation", with links to other interactive dashboards presenting results data. However, no achievement towards global targets are reported.

No public results portal was found in the case of WFP. Nonetheless, the organization presents global trends on hunger monitoring, economic and market analysis, and climate and earth observation in its "Dataviz"[56] portal.

The IFRC leverages its extensive databank and reporting system to collect and provide key insights on the work of National Societies. Each year, data collected from the 192 National Societies is analysed to uncover trends and opportunities for improvement, and results are presented in the "Everyone Counts" reports, which is the organizations´ flagship publication on results. The report does not provide an overview of the achievements compared to targets sets, which limits the contextualization of results.

[54] https://www.impact40.org
[55] https://data.unhcr.org/en/situations
[56] https://dataviz.vam.wfp.org/version2/

ANALYSIS PER ORGANIZATION

UNITED NATIONAL POPULATION FUND – UNFPA

RBM Definitions and Institutional Vision

RBM is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products, and services contribute to their achievement (outputs, outcomes and higher-level goals or impact). The actors, in turn, use information and evidence regarding actual results to inform decision-making on the design, resourcing and delivery of programmes and activities. This information and evidence are also used for accountability and reporting.

Results are defined as the outputs, outcomes or impacts of development interventions, with each element contributing to the next, as set out in the results chain. The links between each element are as important as the results themselves, reflecting the theory of change and the roles of providers and other stakeholders.

Results information in UNFPA consists of evidence about the results of development interventions. It includes results data from monitoring the outputs and outcomes of UNFPA interventions; results findings from UNFPA evaluations as well as from other studies and research on performance and impact of development interventions; and results analysis (assessments, interpretation, synthesis, and generalizations) to determine how UNFPA can strengthen its contribution to development results.

Learning is the process of acquiring new – or of modifying existing – knowledge, behaviors, skills, values, or preferences. Thus, learning involves the reflection and consideration of results information to enhance knowledge, skills and understanding.

Using results information means that results are deliberately considered when learning and managing takes place. Results information is part of the discussions and debates when management decisions are being taken. Therefore, results information is expected to have an impact on the decisions being taken when relevant. The principle is to use results information to help "manage" effectively and UNFPA established the *3+5 Framework* for Self-Assessment, which introduces learning and adaptation as the heart of results-based management.

RBM Organizational Structure

UNFPA RBM follows a decentralized structure. UNFPA offices are requested to use the 3+5 Framework to identify areas for improvement in RBM, with a focus on learning and adapting.

To do so, UNFPA requires its managers and staff to:

- Be guided by results.
- Accelerate the implementation of interventions.
- Go beyond "business as usual".
- Enhance partnerships and move towards joint accountability.

UNFPA believes that there is no "one size fits all" approach for RBM. With the 3+5 framework, UNFPA presents the main requirements of RBM and a genuine interest in learning among all the offices that use this framework is essential.

The supporting principles are the conditions that must be in place in an office so that reliable results information is available and used to manage adaptively through continuous learning. UNFPA earmarks budget for the RBM through the first of the three core principles: Ensure that adequate and reliable results information is available when needed. A strategy is in place for measuring key results, including a multi-year costed monitoring plan covering all programmes and projects with a manageable set of performance indicators. A multi-year costed evaluation plan is also developed.

RBM Programmatic Integration and Measurement

As already mentioned, the *3+5 framework* consists of three core RBM principles plus five supporting principles. Each principle has an associated set of standards that capture the essential elements of RBM for generating and using results information. The primary focus of the 3+5 framework is to enhance the availability of results information and to manage adaptively through continuous learning.

The RBM standards are assessed through a four-point scale that is intended to provide a rating of the extent to which the RBM standard has been met: (i) Fully met; (ii) Partially met; (iii) Minimally met; and (iv) Not met.

The Three Core Principles are to:

1. Ensure that adequate and reliable results information is available when needed.

    -   A strategy is in place for measuring key results, including:
        *   A multi-year costed monitoring plan covering all programmes and projects with a manageable set of performance indicators.
        *   A multi-year costed evaluation plan.
        *   Results measured in evaluations, studies, research, reviews, and participatory assessments that complement the monitoring data and fill in gaps.
    -   Reliable results data from monitoring on a range of results are regularly collected and stored, which includes the following:
        *   Monitoring data on the results of the country programme and projects are collected and stored.
        *   Output data are collected and stored at least annually from monitoring.
        *   All available outcome and impact data from monitoring are collected and stored.

            Reliable results findings from evaluations are collected and stored.

    -   The office has established procedures to analyze and store available results information and to assess the influence of and the contributions by the programmes and projects with regard to observed results.

    -   The stored results information is readily accessible when needed.

2. Use results information to inform planning and reporting.

    -   Results information is regularly used to influence strategic plans.

- Results information is regularly used to influence operational plans, such as project design and implementation plans, and work plans.

- Results information is used periodically to report credibly on performance internally and externally, on the contribution and progress the office is making to higher-level results.

3. Practice learning and adaptive management, using results information.

- Pause and reflect on opportunities for learning that are planned and undertaken.

- Good practices (lessons learned and innovations specific to the office context) for improving performance and RBM are identified, well documented, indicate how they can be incorporated into current and future programming, and are shared.

- Results information on the current state of implementation of programmes and projects is regularly used to manage adaptively for continuous learning, and includes information on:
  - Progress toward results.
  - The costs of interventions.
  - Likely contributions.
  - Bottlenecks and challenges.
  - Possible improvements in implementation.

- Results information is used to inform resource allocation decisions within and among programmes and projects.

The Five Supporting Principles are to:

1. Foster transformational leadership in results-based management.

- There is demonstrated, consistent transformational leadership that provides on-going commitment to RBM and manages expectations for RBM.

- Managers are equipped with adequate knowledge, skills and understanding about RBM, including an understanding of the benefits that can be realized.

- Managers at all levels routinely create informed demand for results information.

- Managers at all levels promote the use of results information for internal and external communication.

2. Promote and support a results-oriented culture.

- Systems, procedures, and practices are in place to support RBM, including.

  - The adequate use of corporate RBM systems.
  - Providing adequate autonomy and flexibility to manage adaptively for results.
  - Clear and concrete guidance on RBM office practices, including the expected roles and responsibilities for managers and staff.
  - HR practices that support experience with and knowledge of RBM.

- Incentives (both formal and informal) are in place and used to recognize and reward good RBM practices.

- A robust, results-oriented accountability system is in place that supports learning, and that:

- Bases accountability on demonstrating that the office is influencing outcomes, not only achieving outcomes.
- Bases accountability in part on demonstrating good RBM practices.
- Bases accountability in part on demonstrating that learning has occurred.
- Fosters accountability for learning and the implementation of lessons learned.

- There is a conducive environment in place for: (a) learning and adapting from past performance to achieve better results; (b) encouraging risk-taking; (c) making time for learning; and (d) tolerating and learning from mistakes.

- Staff have been equipped with adequate knowledge, skills, and appreciation for results-based management, including the ability to communicate the successes of development results.

3. Build and maintain results-based strategic plans, operational plans, and frameworks.

- The office has a high-quality, results-based country programme and projects, that include the following:

  - Context and programme rationale, with evidence from evaluations to inform the development of a new country programme and projects.
  - Clear goals and objectives that identify the results and a theory of change, as well as related performance expectations.
  - Clear articulation of the country programme and the contribution of projects to national priorities and alignment to the UNFPA strategic plan.
  - Intervention strategies aligned with the UNFPA business model.
  - An analysis of major risks and risk-mitigation measures.
  - Financial and HR required (both core and non-core), including resource mobilization with partners.

- The UNFPA country programme and projects have robust results frameworks in place that reflect the complexity of development interventions. These results frameworks include:

  - Clear objectives and the resources required.
  - Results chains and the roles of partners.
  - The alignment of project results with country programme results.
  - Performance expectations for outputs and outcomes.

- Results-based plans are in place to operationalize the UNFPA country programme and projects.

- The UNFPA country programme and projects address crosscutting themes that enhance human rights, gender equality and sustainability.

- The office has a strategic approach for reporting and for identifying which aspects of performance will be reported on, to whom, and when.

- Strategic and implementation partners, managers and staff take ownership of plans and results frameworks that are relevant and useful.

4. Ensure effective partnerships for impact.

   - The office actively works towards an RBM focus through coherence with partners (United Nations organizations and other development partners) that support national priorities.

   - The office actively supports building the capacity of its implementing partners.

5. Review and update office results-based management practices.

   - RBM practices – results frameworks, measurement strategies and the use of results information – are regularly reviewed and updated to ensure continued relevance, usefulness, and cost.

Results Measurement

Operationalization and collection of results is covered in the third of the five Supporting Principles described above: "Build and maintain results-based strategic plans, operational plans and frameworks".

There are two basic tools for accessing results: i) The UNFPA Results Portal; ii) Impact 40 (the tool to measure impact and cost).

In addition, UNFPA has identified six accelerators to achieve the outputs: i) Human rights-based and gender-transformative approaches; ii) Innovation and digitalization; iii) Partnerships, South-South and triangular cooperation, and financing; iv) Data and evidence; v) Leaving no one behind and reaching the furthest behind first, and vi) Resilience and adaptation, and complementarity among development/HDPN e-responsive efforts.

Organizational Learning

To support these efforts, UNFPA improves and strengthens RBM within the organization by shifting the focus to learning as a key aspect of RBM. The *3+5 framework* for self-assessment is expected to enable UNFPA to realize this vision (see above).

Results questions for managers are proposed to frame their assessment of RBM status, for instance:

- Results based planning:
  - What immediate and longer-term results are you trying to achieve or contribute to?
  - How do the intended results align with the other priorities of the organization and its partners?
  - Why do you expect the intended results to be achieved?
  - How robust is the theory of change? What evidence is there supporting the assumptions of how the programme is supposed to work? How good is the evidence?
  - Who is accountable for what? What are the roles and responsibilities for results?
  - What risks exist in attaining the expected results and how will they be managed?
  - Is the budget commensurate with the expected results?
  - What targets for performance have been set?
  - What monitoring and evaluation will be undertaken?
  - What reporting on results will be done?

- Monitored implementation:
  - What has been accomplished? What evidence is there that the results you were expecting were achieved?
  - How do you know your programme or project contributed to the observed results?
  - Has there been significant variation in the planned budget expenditure?
  - How well were the risks managed?

- Results based learning:
  - What have you learned from this experience with respect to the delivery approach, data collection, the theory of change and its underlying assumptions?
  - Have you modified your monitoring and evaluation strategy?

- Accounting for performance
  - What is the performance story? What can you credibly report on what has been accomplished?
  - How solid is the evidence?

- Practice learning and adaptive management, using results information:
  - Pause and reflect on opportunities for learning that are planned and undertaken.
  - Good practices (lessons learned and innovations specific to the office context) for improving performance and RBM are identified, well documented, indicate how they can be incorporated into current and future programming, and are shared.
  - Results information on the current state of implementation of programmes and projects is regularly used to manage adaptively for continuous learning.
  - Results information is used to inform resource allocation decisions within and among programmes and projects.

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RBM Definitions and Institutional Vision

UNHCR defines RBM as a management strategy that seeks the contribution of all stakeholders in achieving the organization's objectives. The information gathered from the results obtained is used to contribute to decision-making in a dynamic process behind the mission of accountability and reporting.

UNCHR has been implementing RBM since 1990, but the current approach was propelled in 2009 with the introduction of a new budget structure, the extension of the results framework, and the new planning and budgeting tool "Focus".

The process goes through three initial questions:

– What results do we want to achieve?
– What actions are needed to achieve those results?
– What resources are needed to achieve those results?

For UNHCR, RBM strengthens accountability, serves to learn from experience, helps to establish a common vision and share common results. Its aim is to improve organizational capacity for evidence-based decision-making, and to improve protection outcomes and solutions.

RBM Organizational Structure

This new RBM approach of 2009 gives rise to a multi-year strategic planning model based on a new results framework, with the introduction of new planning, budgeting, and reporting tools. This framework is implemented throughout the organization, with particular emphasis on field operations:

- **Results framework**: The structure of the results framework is simplified, and elements are added to add flexibility to operations. The entire process is reviewed from the outset with the monitoring and evaluation plan, the priorities of which are information, data collection, and data analysis.
- **Business process review**: A strategic direction is introduced. It aims to conduct a situation analysis based on a results framework, with impact measurement (global and good practice indicators), effect measurement (global and good practice indicators), and output measurement (user-defined indicators).
- **Software and analytics**: Modernization of RBM software to make it more accessible and user-friendly.
- **Capacity and skills**: The development of staff empowerment capacity is sought.

UNHCR's new multi-annual programming cycle consists of three stages:

1. Plan for results:

- **Analysis of the situation**" provides an overview of the rights and welfare of persons of concern to UNHCR in a given country and allows for the visualization of possible solutions. Ideally, a full situation analysis is prepared before an operation begins, developing a new multi-year strategy. The analysis continues throughout the programming cycle and supports

the annual review of the implementation strategy, along with any modifications to the strategy. As far as the context allows, most of the analysis is carried out jointly with governments and other relevant stakeholders to reach a common understanding and identify shared priorities.

- **Devising a multiannual strategy**: Based on the situation analysis, operations articulate a multi-year strategy that sets out the results an operation expects to achieve, along with the strategy for achieving them in partnership with other stakeholders, over a period of three to five years. The strategy specifies what resources are required to achieve the results and how to measure progress. Multi-year strategies should be developed together with all levels of government, partners, and stakeholders.

- **Planning for strategies**: The Country Representative can activate these programmes at any time once the High Commissioner has declared a level 1 to 3 emergency. The emergency programmes have simplified requirements to facilitate rapid preparedness and streamlined management. When the situation stabilizes, the transition from emergency programmes to multi-year programmes takes place.

2. Get results:

   - **Plan annual implementation**: Operations update their strategies annually, considering previous results achieved, changes in the operational context and available resources. Implementation plans are integrated directly into multi-year strategies, without the need for an annual country operations plan. During this process, operations adjust or refine product descriptions according to available resources, performance, or emerging issues.

   - **Monitor implementation plans**: Monitoring is essential to obtain information on the progress made in achieving the outcome and impact envisaged in the strategy. It is also essential in determining the extent to which annual interventions are progressing. Monitoring enables operations to manage results, take corrective action and draw lessons for future programming.

   - **Manage and adjust implementation plans** as needed.

3. Show results:

   - **Report on global indicators**.
   - *Conduct annual reviews*.
   - **Evaluate the strategy**: In accordance with UNHCR's Evaluation Policy, independent evaluations of the strategy will be organised to determine what impacts and outcomes have been achieved for the benefit of persons of concern to UNHCR, and to what extent the programmes are relevant to the country context and the organization's priorities. Such evaluations provide important information for future strategy development.

RBM Programmatic Integration and Measurement

The multi-year programming cycle has also changed. The cyclical Operations Management Model (OMC), whose steps were: review, planning, implementation, monitoring, reporting, audit, evaluation, is changed. The new model aims to be more flexible and dynamic, consisting of:

- **Planning for results**: involves analyzing the situation, developing a strategy for action, and defining UNHCR's role. In emergency situations where multi-year strategies cannot be

planned, emergency programmes are developed, with simplified requirements to streamline implementation. Once the situation has stabilized, the transition from the emergency programmed to the multi-year strategy takes place.

- **Deliver results**: putting the strategy into practice, monitoring the implementation, and developing management and adjustment of the plans.
- **Show results***:* this step shows the results achieved, acknowledges collective efforts, and demonstrates positive changes for the people of concern to UNHCR. Reporting is essential at this stage, such as the Annual Report, which shows operations and progress in achieving results.

During the implementation of the new RBM system, COMPASS, the Evaluation Service provided ongoing support, including assisting with specialist training as part of cross-functional teams; contributing to strategy development; reviewing RBM guidance; supporting the development of monitoring and evaluation plans at regional and country level; and responding to queries from operational colleagues.

This RBM software is a tool that will help gather information on the core issues, as well as assist in measuring and recording against targets and budget, improving management, and measuring impact. Standards and indicators are essential to the use of this tool. The RBM software also helps to link and record objectives from global strategic levels to the point of delivery in the field. Another utility of the software is the facilitation of reporting with more detailed and transparent information.

The M&E plan is carried out throughout the process of the strategic plan. It aims to be coherent, results-based, integrated into the strategic process, context-specific and multi-annual. Effective monitoring enables progress to be tracked in specific contexts and facilitates the aggregation of data. Indicators for monitoring are related to outcome indicators (impact, effect, and output).

Results Measurement

The results framework is composed of different result areas at the impact and outcome levels, where UNHCR's strategic indications are reflected. These areas are accompanied by global indicators and supporting areas.

The UNHCR programme has three hierarchical levels of results, with each level contributing to the level above. The framework seeks context-specific results according to the level of results:

- **Impact**: The highest level is describing the desired changes. Each impact description is linked to an overall impact area in the global results framework. Each operation uses UNHCR's global impact indicators at the global level, but specific indicators or selected from UNHCR's list of good practice indicators can be added. Impact indicators are used to measure changes in the lives of people of concern to the organization, and in the conditions of their context at community, sub-national or national levels.
- **Outcome**: The second level describes the institutional and behavioral changes that will be collectively achieved. There are outcome indicators and global outcome indicators that are mandatory when an outcome is linked to a global area of effect. Outcome indicators examine progress against specific benchmarks according to each project's strategic plan. They help to measure the extent to which the expected change is taking place.
- **Output**: The lowest level refers to changes in individual skills or in the services and goods provided by UNHCR. It is measured by output indicators that can be selected from a list of

UNHCR good practice indicators. An output description indicates the deliverables of UNHCR and its project partners for a specific budget pillar. Output indicators examine progress against specific outputs, and they can also measure various issues such as processes, deliverables, services or changes in capacities.

UNHCR's result areas are the:

- **Impact areas**:
  - Enabling Protective Environment Achievements.
  - Realizing rights in safe and secure environments.
  - Empowering communities and achieving gender equality.
  - Ensuring solutions.
  - Enabling Protective Environment Achievements.
  - Realizing rights in safe and secure environments.

- **Result areas**:
  - Access to territory, registration, and documentation.
  - Status determination.
  - Protection policy and law.
  - Sexual and gender-based violence.
  - Child protection.
  - Security and access to justice.
  - Community participation and women's empowerment.
  - Well-being and basic needs.
  - Sustainable living and settlements.
  - Healthy lives.
  - Education.
  - Clean water: sanitation and hygiene.
  - Self-sufficiency, economic inclusion, and livelihood enhancement.
  - Voluntary repartition and sustainable reintegration.
  - Resettlement and complementary pathways.
  - Integration and other local solutions.

- **Support areas*:*
  - Systems and processes.
  - Operational support and supply chain.
  - People and culture.
  - External engagement and resource mobilization.
  - Leadership and governance.

Organizational Learning

For learning, a range of problems were found with the previous model and solutions implemented include:

- Long-term planning with a three-to-five-year horizon.
- Annual confirmation of resources.

- New results framework with user-defined elements to support contextualization.
- Harmonized operations with external processes.

The monitoring work collects the information needed for data reporting. Throughout the implementation process, operations collect and analyze data on indicators - disaggregated by age, gender and diversity issues - along with other evidence. This data is compiled each year in the Annual Report, which captures progress in the achievements of results. To produce this report, operations review the overall indicators and the implementation of their strategy, assessing progress against the descriptions of output, outcome and impact. Information gathered through the independent evaluations of the strategy will also feed into the global reporting on results.

Good practice principles accompany the comprehensive development of the RBM. Thirty differentiated good legislative practices are listed in the good practice index, which is available on UNHCR website.

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THE WORLD FOOD PROGRAMME – WFP

RBM definitions and institutional vision

The Institutional Results Framework (IRF) for 2022-2025 is the operational tool used to develop the new Strategic Plan, which defines what WFP will achieve (programme outcomes and outputs) and how it will achieve it (management results) based on the institutional catalysts. The IRF, together with the country strategic plan policy, provides a framework of performance and accountability that enables WFP to measure and demonstrate its performance in responding to humanitarian needs and to strengthen national governments' progress towards achieving the 2030 Agenda for Sustainable Development.

The IRF is structured according to a clear three-level results chain (impact, outcomes and outputs), in line with best practices in results-based management adopted by the European Commission, the UN system and other international entities. The level of impact is clearly linked to WFP's contribution to the SDG; the outcome level is clearly linked to WFP's contribution to the SDG targets and reflects the strategic change that WFP will seek to implement in partnership with the United Nations system, and the output level contains the main products and services that WFP and its implementing partners will be directly responsible to implement and deliver.

The IRF allows for systematic reporting on the impact achieved in relation to SDGs 2 and 17, and improved reporting on WFP's contribution to other SDGs. In addition, the IRF supports greater harmonization of WFP with other UN entities through the formulation of corporate outputs, the selection and identification of common and complementary indicators, and the integration of the recommendations and guidance contained in the QCPR on operational activities of the United Nations system for development.

RBM Organizational Structure

The IRF is to be implemented in all Country Strategic Plans. The framework outlines goals and expected results to inform the design of country strategic plans. Programme results relate to impact and outcomes and reflect the strategic vision of the framework.

WFP established a Corporate Results Framework (CRF) working group in early 2021 to launch the formulation of the new CRF and ensure a broad consultative process, closely tracking the work of the strategic plan for alignment. All relevant technical teams and the regional monitoring advisors have been part of the working group, which had met nine times as of late October 2021. In parallel, the Research, Assessment and Monitoring Division (RAM) of the Resource Management Department (RM) and the Corporate Planning and Performance Division (CPP) of the Programme and Policy Development Department (PD) have co-led the strategic plan results framework (SPRF) working group. These two divisions bring together responsibility for the strategic plan development and the CRF development, respectively, as well as additional functions and expertise in the areas of corporate annual performance reporting and field monitoring.

Consultations between CPP as the CRF working group lead and technical units are ongoing. Going forward, this work will continue in both broader and smaller groups to ensure a comprehensive and joined-up approach to finalizing results statements and their indicators. WFP has also consulted with other organizations, including for example the United Nations Children's Fund (UNICEF), the United Nations Development Programme (UNDP), the United Nations High Commissioner for Refugees

(UNHCR), the United Nations Population Fund (UNFPA) and the Food and Agriculture Organization of the United Nations (FAO), focusing on measurement related to integrated programming, UNSDCFs and common and complementary indicators that contribute to inter-agency processes and facilitate the monitoring of system-wide changes. Common indicators are those that appear the same in at least two entities' results or reporting frameworks – including QCPR monitoring and reporting framework for 2021–2024. Complementary indicators are those in the results framework that are not repeated verbatim in the results or reporting frameworks of another United Nations entity but are related or provide different but complementary lenses or insights into a single issue or high-level result and/or are of complementary work, such as SDG targets. Common and complementary indicators help to clarify how WFP is achieving results in a coherent manner with other United Nations agencies, including in response to the QCPR.

RBM Programmatic Integration and Measurement

The CRF is simple and concise, harmonized, evidence-based, user-focused and validated, five elements that ensure it is relevant, adaptable and useful to staff, partners and stakeholders. It plays a dual role: as a tool to guide country offices in the design of country strategic plans and the formulation and measurement of results, and as a framework for corporate reporting.

WFP seeks to better reflect its work on the triple nexus (humanitarian, development and peace - HDPN) by looking at measurements at two levels: measurements based on common metrics and methodologies, including those used in the current UN system-wide initiatives , and the measurement of the increased effectiveness and impact of WFP programmes in and across HDPN settings and programming.

The CRF is structured in a chain from management results to impact:

- **Management results** reflect how the WFP leverages its elements to achieve effective management in:

  - Managing staff.
  - Building effective partnerships.
  - Effectiveness of funding to achieve the "0 hunger" goal.
  - Evidence and learning.
  - Leveraging technology.
  - Harnessing innovation.

- **Cross-cutting priorities** enhance the effectiveness of programmes, which differ according to each country's strategic plan:

  - Outputs: They constitute the direct contribution of the WFP based on its competitive advantage
  - Strategic Outcomes/High Level Targets: measure large-scale, groupable institutional or systems changes, and changes in behaviors, habits and beliefs.
  - Impact: Achievement of the SDGs, and long-term impact of WFP's work.

- **Evidence Source***:

  - Outcome: Global SDG database, National SDG databases, WFP data – HQ and CO
  - Output: WFP data – HQ and CO

- Impact: Global SDG database, Global datasets including from International Financial Institutions.

The strategies are articulated based on the three levels of impact, outcomes and outputs. WPF adds the cross-cutting priorities of the organization and their corresponding indicators derived from institutional policies and strategies, including in the areas of protection and accountability.
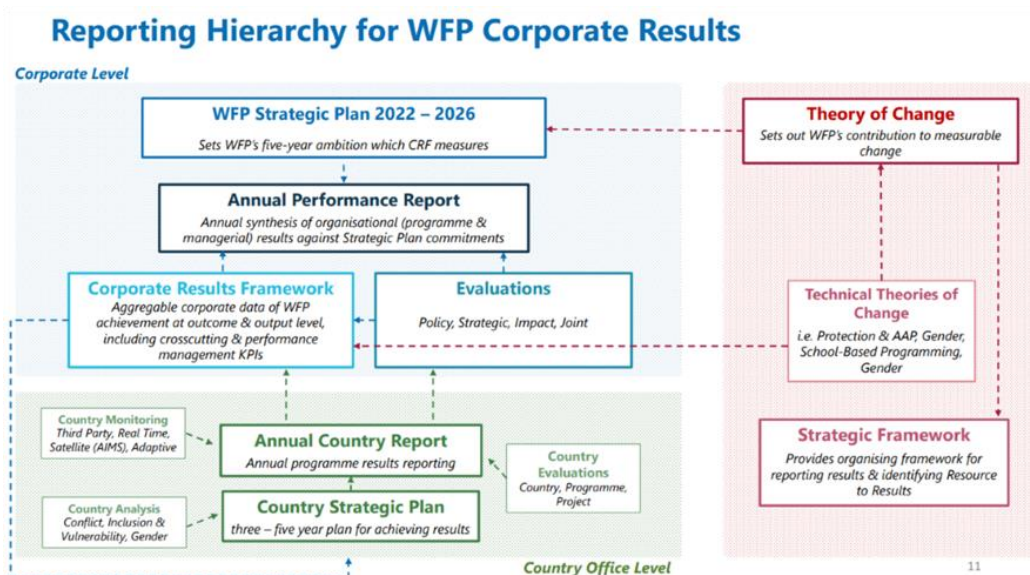
Results Measurement

The CRF is an operational tool used to develop the new Strategic Plan that defines what WFP will achieve, measured in programme outcomes and outputs; and how it will achieve it, measured in management results. It provides an accountability framework that enables WFP to measure and demonstrate its performance towards achieving the 2030 Agenda for Sustainable Development.

This new CRF allows for systematized reporting on impact and improved reporting on WFP's contribution to achieving the SDGs. It also supports programme harmonization with other UN entities through the formulation of corporate outputs, the selection and identification of common and complementary indicators, and the integration of the recommendations and guidance contained in the QCPR of Operational Activities for Development of the United Nations System.

The CRM is structured along a three-level results chain and aims to be a flexible framework that can integrate developments in the reform of the UN system, towards greater harmonization and coherence in the development and use of common indicators. It seeks to fit in with the UN system and international efforts in results-based management. This programme is simple, concise, harmonized, and evidence-based, making it adaptive, useful and an effective tool to guide results measurement, and as a framework for corporate reporting. WFP is also investing in these mechanisms and processes.

The articulation of the strategies, starting with activities and ending with impact, follows a results chain structure expressed as follows:

Monitoring and Accountability Outcomes*:*

- Activities and Outputs:

  - QCPR Indicators.

- Common and complementary indicators.
- High-level indicators.
- WFP-specific indicators.

Sphere of Influence*:*

- Effects:

    - Common and complementary indicators.
    - High-level indicators.
    - WFP-specific indicators.

- Impact:
    - Indicators related to SDGs 2 and 17, 2022-2025

The CRF structure in the chain also includes:

- ***M*anagement Results***:**

    - Leadership Group Priorities have been the key drivers underpinning the Management Performance and align with the Enablers in the Strategic Framework. These represent key operational strategies that WFP will prioritize to support the achievement of outcome level changes:

        - Leadership in emergencies.
        - Partnerships and funding for zero hunger.
        - Digital transformation.
        - Programme excellence.
        - Simplification and efficiency.
        - People management.

    - Organizational enablers, Internal corporate resources that ensure efficiency and effectiveness and enable the Organization to deliver on its programmatic mandate. Management results and KPIs are formulated against each of the enablers:

        - Funding; Partnerships.
        - Technology; Innovation.
        - Evidence.
        - Workforce.

- **Cross-cutting themes***:*

    - Conflict sensitivity.
    - GEEW.
    - Inclusion, protection, and AAP.
    - Nutrition integration.
    - Environmental sustainability.

To measure programme results, priority is given to the 40 mandatory impact indicators. In addition, WPF will develop its own country-specific indicators to ensure better monitoring. The three categories of key management indicators, consisting of high-level indicators, have been replaced by a unified set of management results derived from the main institutional catalytic factors described in the Strategic Plan.

- Outcome: They constitute the direct contribution of the WFP based on its competitive advantage.
- Strategic effects/High-level goals: They measure large-scale, groupable institutional or systems changes, and changes in behavior, habits and beliefs.
- Impact: Achievement of the SDGs, and long-term impact of WFP's work.

The CRF is being built upon a base of five key principles to ensure that it is relevant, adaptable and most of all useful for internal stakeholders and external observers. The dual function of the CRF will be kept, ensuring that country offices can still use the CRF to guide their CSP design and results formulation and measurement and that it also retains its usefulness for corporate reporting purposes. The CRF is designed to be lean, aligned, evidence-based, user-focused and validated, as follows:

1. **Simple and lean**: Essential metrics for country and annual corporate reporting to demonstrate progress towards strategic outcomes and priorities have been included and will be reported in the Annual Performance Report (APR). This priority refers to improved business processes and transactions, demonstrable efficiency gains and improved performance management.

2. **Aligned**: WFP has made great strides towards deeper United Nations alignment. The CRF will be organized to ensure that WFP is well aligned with the 2030 Agenda for Sustainable Development and SDG framework, the QCPR, the Grand Bargain, UNSDCF reporting requirements, UN INFO reporting and other global standards. Relevant indicators are mainstreamed in the different results (programme, management, and cross cutting) and will be accounted for through a combined approach at country and headquarters levels.

3. **Evidence based**: The development of the new CRF has been underpinned by evidence such as the CRF mid-term review, and lessons learned from the implementation of first generation CSPs.

4. **User-focused**: The CRF recognizes the importance of data quality, and the CRF's roll out will be accompanied by an uptake plan. The CRF has been developed to ensure the robust translation of data collected into WFP's annual reporting exercises.

5. **Validated**: The majority of programme and management performance indicators have gone through extensive review and testing in 2021/2022 in preparation for the new CRF. WFP is committed to measuring across the duration of the CRF cycle, with vetted indicators aligned with the organization's business rules.

Figure 1 - The Corporate Results Framework Structure
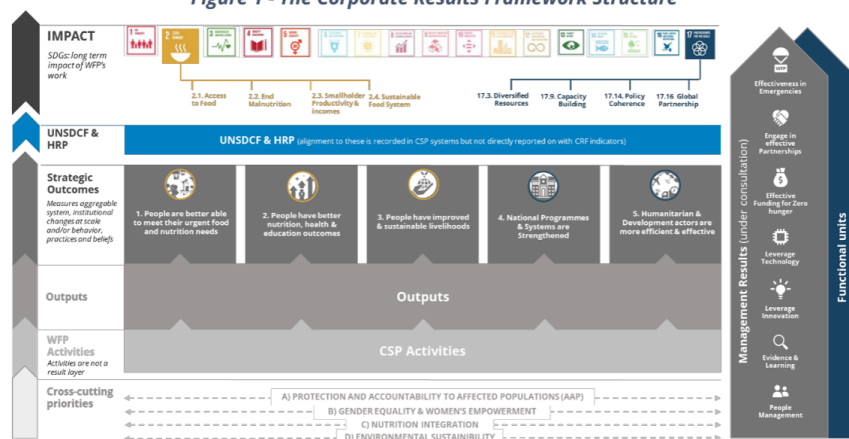
WFP's Annual Report is a synthesis of programmatic and management results in relation to the commitments outlined in the Strategic Plan above. This report requires strategic policy, impact, and joint evaluations, as well as corporate results frameworks (aggregations of corporate data on WFP's achievements in relation to outputs and outcomes). Data collected at the country office level have to follow the IRF in each country's strategic plans. This information collected from the country offices consists of:

- Country assessment: Annual country report (the results of the programme implemented in each country).
- Country analysis: Originating a strategic plan for the country (of between 3 and 5 years), following the MRI model.

WFP Strategic Plan (Results Framework 2022-2026) - Published on 1 July 2021, the results of the previous strategic framework showed:

1. The role and added value of strategic objectives versus strategic results is not well understood by management, nor by staff. These results lack quantification and are therefore difficult to measure.
2. The concept of "priority areas" adds a fragmentation that complicates the articulation of holistic and strategic outcomes.
3. The corporate results framework should be simplified and clarified, and more measurement of WFP's contribution is needed. There is also a need to increase the organization's commitment to reporting its results.

The relevant recommendations were:

1. WFP should revisit and review its strategic results and align them with the duration of the strategic plan.
2. Results need to be quantified and clearly articulate WFP's value proposition by including WFP's direct and indirect contributions in the objectives.
3. The organization should undertake a learning process from the early years of each country's strategic plan to reformulate its programmatic and productive activities.
4. It should clarify the articulation of its value proposition, partnerships and activities that underpin its strategic results.
5. WFP should link country expenditures to results, facilitating ongoing R2R efforts.

CERFAM - Booklet about Good Practices is the manual where the good practices defended by the organization are collected, such as:

- Simplification.
- Structure: Fewer and limited number of indicators; fewer results 'layers'; grouped in 'baskets' to tell an evidence-based story of WFP progress; each indicator with clear baselines, milestones, and targets to effectively measure progress; new 'impact' layer linked to SDG indicators.
- Nexus: Baseline established on joint programming, common, joint, and complementary indicators to measure progress.

- Greater disaggregation: Including of sex, age, disability, to fully implement commitments made in WFP policies, such as Gender and Protection and AAP.
- New metrics: Including conflict sensitivity; results of country capacity strengthening and social and behavior change; partnership and localization; influencing and leverage.
- Improved metrics: Revisions to methodologies and data collection, plus indicators including further alignment with global standards – for example, further adoption of the Washington Short Set of Questions on Disability.
- Transparent methodological guidance supporting robust and replicable APR and Annual Country Report (ACR) statistical reporting.
- Improved data quality: Through further investments in Monitoring, Evaluation and Learning (MEL) capacity and systems, improving CRF data quality, consistency, and timeliness, supporting both learning and accountability objectives.

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THE INTERNATIONAL FEDERATION OF RED CROSS AND RED CRESCENT SOCIETIES – IFRC

### RBM Definition and Institutional Vision

RBM is an approach to project/programme management based on well-defined results and methodologies and tools to measure and achieve them. RBM supports better performance and greater accountability by applying a clear, logical framework to plan, manage and measure an intervention with a focus on the results to be achieved. By identifying in advance, the intended results of a project/programme and how to measure their progress, help to better manage it and determine whether a difference has genuinely been made for the people concerned. IFRC uses the Logframe approach as its main tool for identifying and managing results.

M&E is a critical part of RBM. It forms the basis for sound and accurate reporting on the results achieved by an intervention. In this way, information reporting is an opportunity for critical analysis and organizational learning, in forming decision-making and impact assessment.

RBM Organizational Structure

The IFRC uses a five-year Plan and Budget 2021-2025 (hereafter Plan and Budget) as a strategic framework for all its work. The Plan and Budget is approved by the IFRC governance and operationalized in annual plans and emergency plans which are approved by the IFRC Secretary General. This monitoring plan elaborates on the measurement system that is being established to track progress against the targets set out in the Plan and Budget. There is no one generic project/programme cycle, as each project/programme ultimately varies according to the local context and need. This is especially true of emergency operations for which project/ programme implementation may begin immediately, before typical assessment and planning in a longer-term development initiative.

The usual M&E activities in the project/programme cycle:
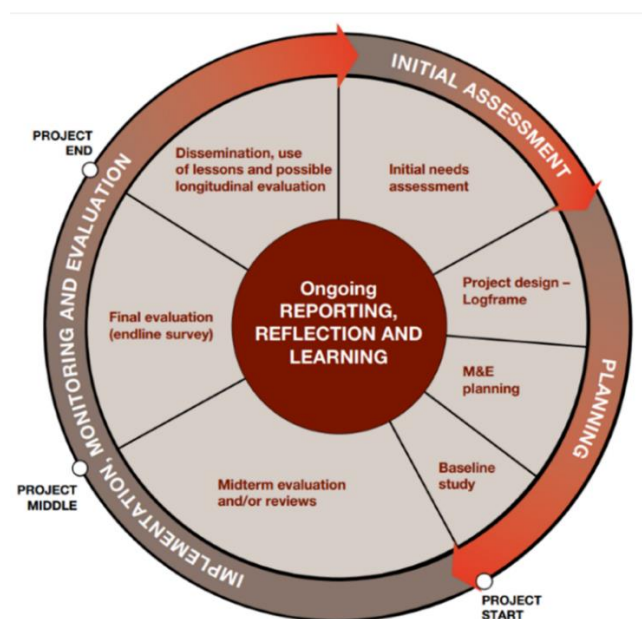
The planning, monitoring, evaluation, and reporting activities include:

1. Initial needs assessment: This is done to determine whether a project/programme is needed and, if so, to inform its planning.
2. Logframe and indicators: This involves the operational design of the project/programme and its objectives, indicators, means of verification and assumptions.
3. M&E planning: This is the practical planning for the project/programme to monitor and evaluate the logframe objectives and indicators.
4. Baseline study: This is the measurement of the initial conditions (appropriate indicators) before the start of a project/programme.
5. Midterm evaluation and/or reviews: These are important reflection events to assess and inform ongoing project/programme implementation.
6. Final evaluation: This occurs after project/programme completion to assess how well the project/programme achieved its intended objectives and what difference this has made.
7. Dissemination and use of lessons: This informs ongoing programming.

Reporting, reflection, and learning should occur throughout the whole project/programme cycle, which is why these have been placed in the centre of the diagram.

RBM Programmatic Integration and Measurement

Monitoring is the routine collection and analysis of information to track progress against set plans and check compliance to established standards. It helps identify trends and patterns, adapt strategies and inform decisions for project/programme management.
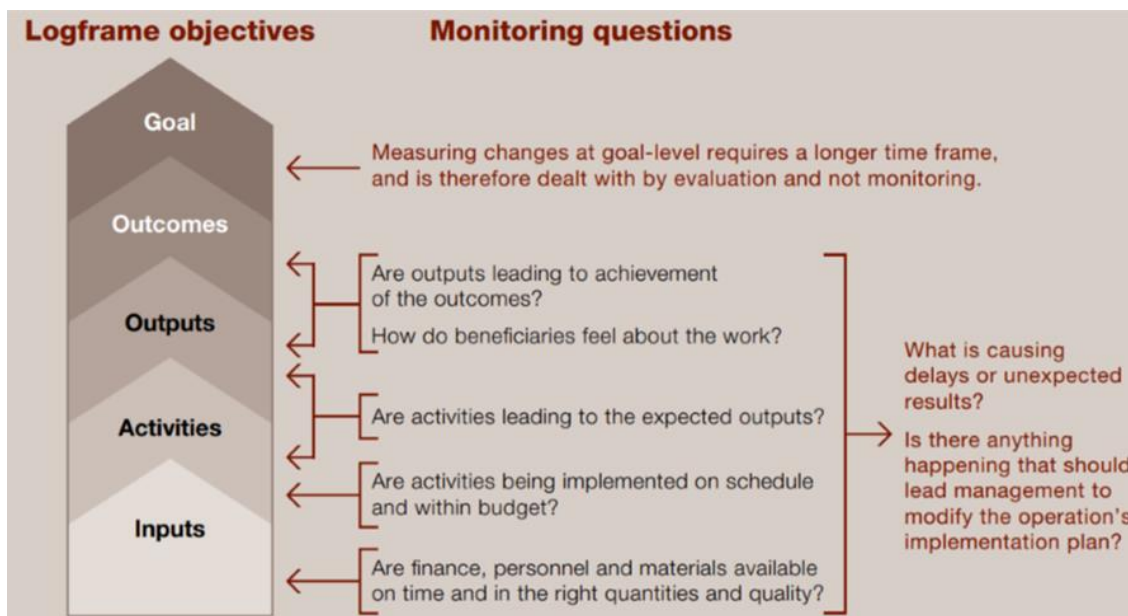
Evaluation is "an assessment, as systematic and objective as possible, of an ongoing or completed project, programme or policy, its design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors." Evaluations involve identifying and reflecting upon the effects of what has been done and judging their

worth. Their findings allow project/programme managers, beneficiaries, partners, donors, and other project/programme stakeholders to learn from the experience and improve future interventions.

The M&E guide promotes a common understanding and reliable practice of M&E for IFRC project/programmes. It is meant to be a desktop reference that supplements the more concise and field friendly IFRC PMER Pocket Guide.

A well-functioning M&E system is a critical part of good project/programme management and accountability. Timely and reliable M&E provides information to:

- Support project/programme implementation with accurate, evidence-based reporting that informs management and decision-making to guide and improve project/programme performance.
- Contribute to organizational learning and knowledge sharing by reflecting upon and sharing experiences and lessons.
- Uphold accountability and compliance by demonstrating whether the work has been carried out as agreed and in compliance with established standards.
- Provide opportunities for stakeholder feedback.
- Promote and celebrate our work.

There are multiple resources to support evaluation management. Most important is the IFRC Framework for Evaluation, which identifies the key criteria and standards that guide how IFRC plans, commissions, conducts, reports on and utilizes evaluations.

Six key steps for project/programme M&E:

1. STEP 1 – Identify the purpose and scope of the M&E system:

   - Review the project/programme' s operational design*:* For IFRC's projects/programmes, the logframe is the foundation on which the M&E system is built. Also, high media coverage and pressure from donors demand timely M&E evidence for results. The IFRC plan of action for disaster response operations provides templates and guidance for collecting and summarizing key information during an IFRC response to a disaster.
   - An important consideration in the logframe is the use of industry-recognized, standard indicators, or a combination of standardized indicators and those designed specifically for the local context.   Industry indicators have been developed for use across the humanitarian industry (such as the Sphere Project and the Humanitarian Accountability Partnership).
   - Sector-specific or thematic indicators have been developed for use in specific thematic sectors.   Cluster indicators have been developed by some of the UN Clusters to assess achievements of the overall focus area of the cluster.
   - Organization-specific indicators have been developed for use in specific operations or for organizational reporting against its strategy. The seven key proxy indicators detailed for the Federation-Wide Reporting System are an example of it, as are the IFRC's standard indicators on beneficiary counting.
   - Identify key stakeholder informational needs and expectations*:* Examples of the IFRC's key stakeholders and informational needs are:
       - Communities (beneficiaries) provided with information can better understand, participate in and own a project/programme.

- Donors, which include those within the IFRC and individuals and agencies outside the IFRC, typically require information to ensure compliance and accountability.
- Project/programme management uses information for decision-making, strategic planning, and accountability.
- Project/programme staff can use information for project/programme implementation and to understand management decisions.
- The IFRC's secretariat and National Societies may require information for donor accountability, long-term strategic planning, knowledge sharing, organizational learning, and advocacy.
- Partners (bilateral or local) can use information for coordination and collaboration, as well as for knowledge and resource sharing.
- Government and local authorities may require information to ensure that legal and regulatory requirements are met, and it can help build political understanding and support.
- *Identify any M&E requirements:* Important informational needs worth specific attention are those that arise from any donor guidelines and requirements, governmental laws and regulations, and inter-nationally agreed upon standards. Specific evaluation requirements for the IFRC's secretariat funded projects/programmes:

  - Baseline studies prior to project/programme implementation
  - Final evaluations, or some form of final assessment, after project/pro gramme completion.
  - Independent final evaluations for projects/programmes exceeding 1,000,000 Swiss francs.
  - Midterm evaluations or reviews for projects/programmes lasting more than 24 months.
  - Real-time evaluations for emergency operations initiated within the first three months of an emergency operation under one or a combination of the following conditions.

2. STEP 2 – Plan for data collection and management:
   - Develop an M&E plan table, which builds upon a project/programme's logframe to detail key M&E requirements for each indicator and assumption.
   - Assess the availability of secondary data, which are not directly collected by and for the project/programme, but which can nevertheless meet project/programme informational needs.
   - Determine the balance between quantitative and qualitative data and triangulate data collection sources and methods.
   - Determine sampling requirements for the whole population selected to study. Sampling is a critical aspect of planning the collection of primary data. Most projects/ programmes do not have sufficient resources to measure a whole population (a census), nor is it usually necessary. Sampling saves time and money by collecting data from a subgroup to generalize.
   - Prepare specific data collection methods/tools, including surveys and establish stakeholder complaints and feedback mechanisms.

- Plan for data management: data format, data organization, data availability (access, searches, archival, dissemination), data security and legalities, information technology, data quality control, responsibility, and accountability of data management.
- Use an indicator tracking table as a data management tool for recording and monitoring indicator performance.
- Use a risk log to track any risks that threaten project/programme implementation.

3. STEP 3 – Plan for data analysis:

- Develop a data analysis plan, identifying: the purpose of data analysis, frequency of data analysis, responsibility for data analysis, process for data analysis, including validation.

4. STEP 4 – Plan for information reporting and utilization:

- Reporting is the most visible part of the M&E system, where collected and analyzed data are presented for key stakeholders' use.

- Anticipate and plan for reporting with the criteria of good reporting: relevant and useful, timely, complete, reliable, simple, and user-friendly, consistent, cost-effective. And plan for information utilization, dissemination and contribution to decision making.

5. STEP 5 – Plan for M&E Human Resources and capacity building:

- Assess the projects/programme' s HR capacity for M&E, including the extent of local participation and of outside expertise.

- Define the roles and responsibilities for M&E, plan for managing project/programme team's M&E activities and identify M&E capacity-building requirements and opportunities.

6. STEP 6 – Prepare the M&E budget:

- Itemize M&E budget needs, incorporate M&E costs into the project/programme budget, review any donor budget requirements and contributions, and plan for cost contingency.

Results measurement

- Results measurement mainly consist of Step 2 above about data collection and management and Step 3 data analysis.

Organizational learning

The M&E guide tries to promote a common understanding and reliable practice of monitoring and evaluation (M&E) for IFRC project/programmes. It is especially important that M&E is conducted in an ethical and legal manner, with regard for the welfare of those involved in and affected by it. M&E should uphold the principles and standards of the IFRC, respect the customs, culture, and dignity of human subjects, uphold the principle of "do no harm", whenever feasible be participatory, ensure

that stakeholders can provide comment and voice any complaints about the IFRC's work, pay attention to a gender-balanced representation.

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ANNEX 4 – INTEGRATION OF THE SRF AT REGIONAL AND NATIONAL LEVELS (CASE STUDIES 1 and 2)

Adequacy of the SRF to IOM´s mandate at global, regional, and country levels.

As described in the Strategic Vision 2019-2023, IOM has seen a dramatic increase in its budget, personnel, and scope of activities in the last decade. As a result, the Organization needed to reflect and redefine its structure towards being more strategic. IOM has launched several initiatives, including the development of results-based reporting and RBM, strongly supported and promoted by senior management, which has led to the development of a new global SRF. Informed by the SV, the SRF establishes the global results that IOM is working towards. The SRF also brings together key elements from the GCM and SDGs. Consequently, the RBM approach is fully aligned with IOM´s mandate.

The SRF has been implemented through a phased approach. During **Phase I**, the RBM Unit focused on familiarizing key RO and CO staff with the SRF's purpose and content, as well as aligning Country Strategies with the Strategic Vision and its emerging SRF[57]. Specifically, outreach meetings on the SRF were organized with the nine Regional Offices. Following three Training-of-trainer sessions with Regional Focal Points, each RO held dedicated information sessions (one for a broader group of RO colleagues and, separately, one or more for country offices in the region). Direct support was also provided by RBM HQ colleagues during these sessions in eight of the nine regions, upon request of ROs. A dedicated SRF Roll out package was developed, including Q&As, a standard presentation with talking points, and a 2-pager, in response to requests from ROs. As an interactive tool, the 'SRF Wheel', provided staff working on strategy or project development with a comprehensive overview of the internal structure of the SRF, from high-level objectives down to outcomes and indicators. The tool also allowed users to design relevant outcomes and indicators and understand their connection to institutional objectives, regional priorities, and other frameworks such as the SDGs and GCM, based on underlying mappings by the RBM Unit.

Phase II of the SRF roll-out was subsequently initiated by the RBM Unit with the objective of enabling systematic result-based reporting through PRIMA. In line with the MOPAN recommendations, the RBM Unit worked to validate and prioritize a set of common indicators for more extensive streamlining of IOM's institutional reporting, starting in Q3 2021. An indicator validation and prioritization exercise was carried out with HQ departments and ROs, with three rounds of consultation undertaken from late 2021 to mid-2022. Throughout 2022, RO focal points were updated on the SRF process through bi-weekly calls, which were convened by the RBM Unit. Additionally, in Q2 2022, the RO focal points were presented with a late draft of the SRF indicators and requested to provide their comments. RBM Unit organized a global ROMEO-RPDO retreat at Headquarters in September 2022, where the RO focal points were further briefed on the final SRF.

In July 2022, after extensive consultations, the SRF programmatic indicators were finalized and shared with IOM Deputy Director General for Operations. In October, the complete SRF framework was presented to the IGF Board, and then transmitted to the Director General for approval during Q4 2022.

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[57] The logical flow is Strategic Vision – Regional Strategy – Country Strategy. The regional strategies set the regional prioritization, and Country Offices can draw from the conducted analysis and define their in-country work on that basis. The SRF supports this process of prioritization by providing clear language that can be used in the document and by illustrating which strategic objectives the different areas of work contribute to. Linking country level strategic planning to the SRF will allow progress towards the strategic objectives to be measured more systematically. Therefore, where country strategies can be closely aligned not only to the Regional Strategy, but also to the SRF and its indicators, progress tracking and reporting over time will be simplified. The Regional Strategy serves as the political and overarching framework for regional priorities, while the SRF measures results and demonstrates progress towards strategic objectives through aggregation based on common indicators.

The approval process was completed successfully, and the SRF framework is ready for implementation.

Alignment of Regional and Country Strategies with the Strategic Vision and SRF

At the global level, the process of designing the SRF commenced in 2020, and was consultative, involving a high number of focal points from different thematic areas so as to ensure the final set of goals relate to the existing Strategic Vision. The RBM Unit carried out a mapping exercise to address and reflect the main features of all the different frameworks for which the Organization reports to, including internal frameworks (Institutional Questionnaire and the Organizational Effectiveness Framework for instance) and external frameworks (SDGs and the GCM). Moreover, the language and logic of other institutional planning and reporting tools such as the Global Crisis Platform and the Migration Crisis Operational Framework (MCOF) were revised and introduced in the SF.

In terms of the alignment of the SRF with the regional and country strategies, informants from HQ mentioned that, originally, the regional strategies were already quite developed when the process of developing the SRF started. For this reason, the regional strategies have a different structure when comparted to the SRF as they needed to be tailored to the regional context. Also, it was noted that the roll-out had no official strategy or guidance in place (no roll-out package prepared) which made the implementation at the regional and country level challenging.

At the regional level, representation from regional offices was ensured through regional thematic experts. The SRF was revised later with the support of the ROMEOS, and to some extent, the RPDOs.

In the case of EHoA RO, the SRF was developed by the time the RO Kenya was finalizing its strategy. The RO was provided with the draft SRF, which informed the development of regional strategy to certain extent. Conversely, the feedback provided from the RO during the process of integrating the SRF into the regional strategy enabled the revision of the different SRF drafts resulting in a bottom-up and top-down approach. The regional thematic specialists were engaged in the design of different thematic areas. The RO Results Matrix was also informed by the SRF to track the progress toward the implementation of the regional strategy. The Results Matrix, however, could not be informed by the SRF indicators, as they were not developed at that time. In addition, some areas of importance for the regional strategy, such as diaspora engagement, were not adequately reflected in the SRF. One of the main concerns was that the timing of the process did not allow the maximization of the SRF integration into the regional strategy, as mentioned by one informant: "it was very much like building the car while driving". In addition, it was pointed out that not all the feedback provided was taken into consideration, especially when it comes to differentiating actions/processes from results/goals.

In the case of RO Costa Rica, the Regional Strategy for Central America, North America, and the Caribbean (CNAC) 2020-2024 has been developed in coordination and consultation with IOM country offices, regional thematic specialists, the Office of the Director General's Special Envoy for the Regional Response to the Venezuelan Situation and IOM Headquarters. The Strategy has three regional strategic priorities (resilience, mobility, and governance) that respond to the pillars described in the IOM Strategic Vision. The Regional Strategy outlines a set of strategic priorities focused on humanitarian response and resilience (SRF Objectives 1 and 2), mobility (SRF Objectives 3), and governance (SRF Objectives 4). To achieve these priorities, a cross-thematic approach was taken to contribute to the larger regional goals.

Unlike the EHoA RO case, there is no results matrix based on the SRF indicators to track the implementation progress of the Regional Strategy, as well as no specific targets, goals or baselines. Nevertheless, it is mentioned in the strategy that, to meet its strategic priorities, there will be some

institutional development in the following areas: improvement of capacity to collect and analyse data and to engage in regional initiatives around the United Nations Network on Migration; strengthening of the resource mobilization and technical capacity, and the strategic communication, and; expand knowledge management.

According to management, the RO is currently working on piloting new indicators for the SRF, and the CO team has agreed to participate in the pilot. Although no confirmation has been received yet, the understanding is that these indicators will be used to measure the SRF indicators and to be applied at the Country level.

At country level, it is not mandatory to prepare country strategies, and not all COs have developed it. This is one of the main changes expected because of further integrating the RBM approach, especially once the SRF is integrated into PRIMA and rolled-out in pilot countries.

In the case of CO Kenya, the decentralized nature of IOM´s structure allows for high level of flexibility, ensuring leverage points are created for COs to operate based on the results of needs analysis. The regional strategy sets broader goals and priorities, to which COs contribute, ensuring clear alignment to global strategic frameworks, Member States, and donor´s requirements while ensuring contribution to main development and humanitarian goals.

The process of drafting the Kenya Country Strategy (CS) 2021-2025[58] started in 2019, with the main goal of ensuring alignment and contribution to main internal (MiGOF, MCOF, and IOM Strategic Vision) and external frameworks (SDGs and GCM), as well as to UNSDCF, the priorities of the government of Kenya and regional priorities (IGAD and the East African Community Strategy). This process was supported by the RO via the Regional Monitoring and Evaluation Officer (ROMEO). Donor development partner mappings were also carried out to understand donors' priorities in Kenya. The COVID pandemic delayed the design process and by the time the CS was almost ready for launching, the SRF was presented to the CO.

Once the CS was developed a country programme strategy was issued to operationalize it. Similarly, to what happened with the regional strategy, the Kenya CS and the programme strategy were revised following the issuance of the early draft SRF in 2020. By that time, the only document available, on which to base the analysis, was a 2-pager of the SRF presenting the main goals and outputs, but not including indicators as it was only in 2022 with the final version of the SRF. However, no major changes were needed for the CS goals as they already aligned with the SRF goals.

With regards to CO Costa Rica, the CO developed a National Strategy 2022-2026 with the support of RBM Unit, and linked it to the SRF[59], tailored to the national context. A consultant, familiar with the SRF, provided valuable assistance in developing the national strategy and ensured its alignment with the standards of the SRF, working jointly with the project development staff. The participatory approach supported the alignment of the strategy with the existing frameworks.

The four objectives of the Strategy are linked with the SRF, with most applicable indicators selected for this purpose designed through a questionnaire sent to programme managers to decide in a consultative way on the most appropriate indicators. Once approved, the strategy and the results framework were presented to all staff along with the national strategy. To adapt the indicators and facilitate interpretation, CO Costa Rica is planning to provide further guidance to all programmes to

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[58] https://kenya.iom.int/sites/g/files/tmzbdl926/files/documents/iom-kco-strategy-2021-2025.pdf
[59] https://costarica.iom.int/es/plan-estrategico-2022-2026-oim-costa-rica

help the coding process and coherent measuring; the Platform Indikit[60] is used as a source of inspiration.

Roll-out of the result-based reporting through PRIMA

The integration of the SRF into PRIMA was pioneered by the IOM Development Fund, which in 2022 made mandatory to link 59 projects to the SRF indicators. The Fund reported a rather positive experience when integrating the SRF indicators into its projects. The team was able to design indicators that matched the expected outcome, even for the cross-thematic projects. The list of indicators was finalized in July 2022. As most projects were developed prior to July, a workaround was established whereby indicators were coded so they could be adapted into the unique SRF indicator coding once the system had been prepared. The Fund Team reported that, even though the integration of indicators was challenging at first, the process became quite straightforward over time. The overall percentage of indicators originally selected at the outcome level were like those finally included in SRF´s tier one, and similarly with tier 2 and to a lesser extent, tier 3 indicators. According to the feedback provided, the indicator wizard simplified the process of selecting indicators, making the large set of indicators easier to manage.

Integration of SRF Indicators at Regional and Country levels

At the regional level, the integration of the SRF in the EHoA RO was done in consultation with the RBM Unit, and the regional strategy was linked to the existing SRF down to the output level, which does not mean all outputs and indicators of the SRF were included, but that they already considered outputs, outcomes, and indicators to be linked to the extent possible to the SRF framework. The process was reported as flexible, enabling adequate contextualization of the regional results frameworks, and allowing the aggregation of results for reporting.

At the country level, the CS in Kenya has three strategic objectives, and each objective is aligned to the three pillars articulated in the IOM's Vision, which will be operationalized through the SRF. However, several gaps were found when using the existing list of SRF indicators, since some thematic areas are not yet adequately developed (e.g., labour migration). As a result, the strategy finally considered additional indicators not included in the SRF but better reflecting the context and nature of CO operations.

The in-country Mission Support and Innovation Unit (MSIU) and M&E units, with the support of an external consultant, have been actively guiding the integration of the SRF into projects, while ensuring that reporting to UNSDCF is also possible. This process has been rather new for the CO, and in general, the perception is that integrating SRF indicators has been relatively straightforward, though not without challenges. Some thematic indicators were an ideal fit for initiatives in areas such as protection and assisting returnees and their integration. However, the integration of the SRF framework has been difficult to apply in contexts such as the work with refugees. The perception is that the need for the SRF to be applicable to a variety of contexts may make it difficult to be specific enough in certain areas. Nonetheless, the integration process is considered flexible enough to ensure COs can include those relevant aspects not necessarily fully reflected in the SRF, into their results matrices.

In the case of Costa Rica, as in many other COs, the IQ is a significant burden by the staff, as there is no standardized way of collecting information from different coordinators across projects. The lack of consistency in reporting has made it challenging to make proper adjustments, and staff members feel

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[60] https://www.indikit.net/

that the information available is not entirely reflected in the IQ. Moreover, there is a lack of robust evidence to report on the indicators. Previously, every project had to submit a progress report, but not all of them were done using PRIMA. As a result, whenever the IQ had to be completed, the project coordinators had to be contacted. However, there is now a shared institutional SharePoint within the mission that contains information about each project, which means that anyone can access and view the information of the projects to gain a better understanding of the monitoring processes that are currently being implemented, easing the IQ completion process.

At the time of data collection for the evaluation, the CO Costa Rica had only one project developed based on the National Strategy, which started in November 2022, with plans to start the second project in March 2023. During interviews, it was pointed out that efforts are being put into monitoring the Country Strategy and to use the SRF indicators, even if some will need to be modified at a later stage. The CO is currently creating outcome statements that are like those in the SRF for all four objectives in the strategy and are linking the country strategy to the UNSDCF and the GCM with the SRF as a guide.

Integration of Cross-cutting indicators

As the SRF is not fully implemented, very little information related to the implementation of the CC was collected through the interviews. What has been mentioned at the global level was that there was an integration of quite a few indicators during the roll-out because they were the best fit, but adding indicators just because they were in the cross-cutting category was not prioritized at any point.

One of the main challenges mentioned regarding the implementation of CC issues is the multitude of donors' requirements that must be captured in a meaningful manner, accounting for IOM's wide-ranging projects. Specifically, smaller interventions may be more difficult to justify and integrate CC issues due to a lack of prioritization. It is imperative that the PRIMA system contains this information to accurately document the implementation process. Even if gender or age markers are present, in some cases, certain limitations in measuring the integration of these aspects at a global level were noted. An informant stated that there is a requirement for consensus on the interpretation of CC issues, as CC definitions presented in the various frameworks may vary.

According to feedback provided in the case of the EHoA RO, the integration of CC issues through their linkage with relevant SRF indicators has been limited as they are at an early stage, although the experience seems to have been positive. Nonetheless, the perception at the regional level is that the office is still working on adjusting CC and OEE indicators to their reality. One of the main challenges perceived is selecting relevant CC indicators of the SRF by programme managers, especially in those cases where the options are considerable (such as for Gender Equality issues). Another idea brought up is the extent to which having separate CC indicators instead of integrating CC issues into programmatic indicators is valid and what added value it provides.

In the case of Costa Rica, there are diverging views between the country and regional offices. An interviewee from the CO mentioned that SRF is not seen as a tool that reinforce cross-cutting issues in the projects and that the indicators used are more adjusted to the national context, while at the regional level it was mentioned that SRF indicators provide a better idea of what to measure and how, as cross-cutting topics are not always fully understood.

Integration of the OEE indicators

The OEE indicators, although used by all UN organizations, are not standard indicators since each organization adapts the indicators to their needs and mandate. A review of different UN agencies was

internally done, and the indicators that were more consistently used are those included in the QCPR, which is a reporting requirement related to UN reform. The RBM Unit, together with IGF unit, translated OEE indicators to the needs of the Organization, keeping record of good practices from other UN agencies as well as IOM´s Strategic Vision. The RBM team based the OEE indicators on the Strategic Vision's 11 drivers of success to inform five key outputs (resource mobilization, institutional identity and accountability, people and culture, operational excellence and thought leadership). The original list of OEE indicators was reduced in number, and currently the framework includes 44 indicators, which is on average, the number that other UN agencies consider. According to interviews, the process of prioritizing indicators was done keeping in mind the need to maximize external coherence, so the indicators were linked to those in the QCPR.

ANNEX 5 – ANALYSIS OF THE INSTITUTIONAL QUESTIONNAIRE (Case Study 3)

In this annex, the IQ role as SRF data source has been analysed as well as its suitability for the SRF with the aim to simplify and reduce the questions it comprises. The analysis only focused on the questions addressing Outcome (1) of the SRF and the CC indicators.

Steps:

1. Comparison of IQ latest version available with IQ Mapping to SRF.
2. Comparison of indicators in IQ last version available with the ones in SRF last version available.
3. Revise IQ questions for Objective 1 and Cross Cutting Priorities.

Analysis of IQ questions regarding its adequacy to provide relevant information to SRF:

→ Does the question correctly fit the indicator it is related to (nature of the information, unit of measurement…)?
→ Does the question exceed the indicator?
→ Is it necessary to maintain the question to answer the indicator?
→ Can the question be simplified or merged with some other question?

To analyse the suitability of the IQ as a tool for collecting information to feed the SRF indicators, the questions have been analysed in relation to the indicator to which each one of them responds to.

This analysis was carried out with three objectives in mind:

- To simplify the questionnaire in terms of the formulation and the completion of questions.
- To reduce the length of the questionnaire to make it more operational and simpler for IOM offices.
- To adjust the questionnaire to the SRF indicators, also considering that part of the information traditionally collected through the IQ can be obtained through other systems (specifically PRIMA, which will collect information from the projects).

Bearing in mind that both the IQ and the SRF are still under revision and that the versions currently being worked on may not be the final ones, and bearing in mind that the IQ has a large number of questions and sub-questions, the detailed analysis has been carried out based on a selected part of the IQ, comprising the questions of Outcome 1 and the Cross Cutting Priorities. Therefore, the aim is to establish recommendations for improving the IQ that can be applied to this or other eventual future versions.

A number of proposals for improvement or modification have been established. It should be borne in mind that some questions are affected by more than one recommendation. The comments, number and percentage of questions in each block are detailed below and the main issues identified are reflected in the following table.

COMMENT AND /OR PROPOSAL	Number of indicators	per cent
The question exceeds the indicator.	36	69,2
To maintain in its current formulation/version.	14	26,9
This question does not correctly fit the indicator.	9	17,3

This question can be merged with the following/previous one, including as a response category.	4	7,7
Project information can be obtained by PRIMA.	3	5,8
Last version of the SRF does not disaggregate.	2	3,8
A question referred to the number has to be included.	1	1,9
Automatic calculation from the previous question.	1	1,9
Simplify with matrix question	1	1,9

→ ***This question exceeds the indicator*** when the question collects information that exceeds the indicator. IOM will have to assess whether maintaining this question is of interest, but it is not necessary if the objective is for the IQ to be in line with the SRF.

> This concerns 36 O1 questions, which accounts for 70 per cent of the questions, and 43 (78 per cent) of the CCPs.
> **Example**:
> Indicator in IQ version: 1a19a.
> # of beneficiaries who have received reparations and/or restitutions through the support of IOM (disaggregated by age, gender, vulnerability)
> Question in IQ:
> Has your office provided support to survivors of human rights violations who are part of reparations, restitution, or similar transitional justice mechanisms?
> -Please state the number of beneficiaries supported in-kind, with cash and vouchers.
> **Comment:** The sub question exceeds the indicator. To be substituted by: "Please state the number of beneficiaries supported."

→ ***To maintain in its current formulation / version*** when the IQ question is considered to adequately capture information on the indicator to which it responds. The questions on which this assessment has been made are 14 in O1, which represents 26 per cent of the questions in this block; and 14 of the CCPPs, which represents 25 per cent of this block.

→ ***This question does not correctly fit the indicator*** in cases where the sub-question does not fit, either in terms of content or units of measurement, the indicator to which it is linked. It affects 9 questions of objective 1 (17 per cent) and 12 of the CCP (21 per cent).

> **Example**:
>
> Indicator in IQ version 1b13a
>
> # of crisis-affected persons, including members of community-based committees and all key gender groups, who participated in decision-making for the design, planning and/or implementation of humanitarian programming (disaggregated by type, age, gender, vulnerability).
>
> *In SRF last version available, this indicator does not have to be disaggregated by type, age, gender, vulnerability.
>
> IQ question:
>
> Please enter the number whose participation was improved as confirmed by monitoring data. If you do not have data, please leave it blank.

Comment: This question does not correctly fit the indicator. Delete.

Alternative formulation: Please enter the number of crisis-affected persons, including members of community-based committees and all key gender groups, who participated in decision-making for the design, planning and/or implementation of humanitarian programming.

In SRF version, the indicator is not disaggregated by age, gender, vulnerability. Delete those sub questions.

→ *This question can be merged with the following/previous one, including as a response category [...]* where a question and sub-question could be merged into one question, adding a response category. In this way, the length and duration of the questionnaire can be shortened without losing information.

Affects 4 (7 per cent) of objective 1 and 16 of the CCP (29 per cent).

Example:

Indicator IQ version 1a15a

# of persons provided with health consultations and/or MHPSS support (disaggregated by type of support, age, gender)

IQ Question: Are health consultation activities supported and/or provided within your office's emergency response?

- Yes
- No

(If yes)

Please state the number of health consultations provided during the reporting period (including MHPSS services)

- # of consultations

Proposal: Please state the number of health consultations provided during the reporting period (including MHPSS services)

- # of consultations
- My office does not provide this service.

→ *Project information can be obtained by PRIMA* when the IQ question collects information at project level, it has been indicated that this could be obtained from PRIMA, and therefore could be eliminated from the IQ.

It affects 3 Ob1 questions (6 per cent) and 12 of the CCPs (22 per cent).

Example:

Indicator IQ version: C4a3

# of country office with programmes or projects which include elements of PSEA interventions/activities

How many of the on-going projects active during the reporting period or programmes have dedicated budget lines to support PSEAH interventions/activities?

Comment: This information, as project related, could be addressed in PRIMA.

→ *Last version of the SRF does not disaggregate by age, gender and disability. If so, this question should be deleted.* For the purposes of the analysis, the indicator has been compared as presented in the SRF mapping (in which each IQ question indicates the indicator to which it responds) with the latest version of the SRF provided by the IOM for the analysis. For some questions, the level of disaggregation of the indicator does not match, so the IQ questions may be simplified or reduced if the latest version of the SRF prevails.

It affects 2 questions under Outcome 1.

Example:
230117_IQ_CO_PreparatoryVersion. 1b13a

# of crisis-affected persons, including members of community-based committees and all key gender groups, who participated in decision-making for the design, planning and/or implementation of humanitarian programming (disaggregated by type, age, gender, vulnerability).

SRF Indicators - Internal - 27.12.2022. 1b13a

# of crisis-affected persons, including members of community-based committees and all key gender groups, who participated in decision-making for the design, planning and/or implementation of humanitarian programming.

→ *A question referred to the # has to be included* this comment has been included when the question has been considered relevant to answer the indicator, but it is necessary to add a unit of measurement to adequately capture the indicator.

→ Other specific comments: *"Simplify with matrix question"* or *"Automatic calculation from the previous question."*

→ *Overlapping question:* the information collected in a question is already covered or collected in another question of the IQ. It affects 2 questions of the CCP block.

Example:

C3a3. per cent of projects including a budget line for improvement of accessibility for persons with disabilities.

- How many projects include a budget line for improvement of accessibility for persons with disabilities?

- How many projects are there in this CO which mainstream DI with at least one budget line (e.g., budget lines to consultations, accessibility, reasonable accommodation, data collection for persons with disabilities, personnel etc.)?

  These questions overlap. The first one correctly fits the indicator.

The detailed comments for each IQ question comprised in Outcome 1 and CCP of the SRF are presented in complementary excel file (internally available only).

ANNEX 6 – ANALYSIS OF THE SRF STRUCTURE (Case study 4)

Globally, the results chain in the SRF is correctly defined, although overly complex at times. Some methodological issues have in addition been detected. The main recommendations are to apply specific technical corrections (explained below) and to simplify the results framework to the extent possible.

A manageable model would comprise 12 Outputs (Op), 4 Short-term Outcomes (STO) and 4 Long-term Outcomes (LTO).

There are 4 **high-level objectives** (HLO) and 12 **long-term outcomes** (LTO) evenly distributed in the SRF. Technically, these two levels represent the same hierarchy of results, and they could be merged (the 12 LTOs to become 4 LTOs) if considered relevant. All the LTO are long-term systemic changes to which IOM contributes but does not attempt attribution, is technically correct. Only LTO1c might refer to a long-term outcome to be achieved by IOM, in which case it would not be correct. Three improvement points are detected: LTO2d contains several elements (equitable, inclusive societies, accessibility to essential services, sustainable development) and it is advisable to choose only one or disaggregate. The same applies to LTO3b. As for LTO4c, there are two elements linked causally (through), which should be avoided (mitigation of negative discourses on migration and evidence-based public discourse).

There are 37 **short-term outcomes** (STO). Overall, this number is considered too high, and a reduction is recommended, e.g., to have 12 STOs (one per component). On the current ones, there are relevant improvement points detected. Firstly, 11 (30 per cent) are formulated as long-term outcomes; and should be reformulated: 1a.1, 1b.3, 2b.1, 2d.1, 2d.2, 2d.3, 2d.4, 3a.3, 3b.1, 3b.4, 4c.1. Secondly, the formulation is correct and adequate from a technical point of view in 60 per cent of the cases (average). Four quality criteria have been applied to assess the quality of the STEs, as follows: a) They should refer to only one element or idea (result), which happens in 65 per cent of the cases, b) There should not be causal links, which happens in 65 per cent of the cases, c) They should refer to the target groups only, which happens in 59 per cent of the cases; and d) They should refer to behavioral or institutional changes, found in 59 per cent of cases.

There are 51 **outputs.** Overall, this number is considered to be high, and a reduction is recommended, e.g. to have 3 Outputs per Outcome (36 in total). The formulation of the battery of Output indicators is correct and adequate from a technical point of view in 65 per cent of the cases (average). Two quality criteria were applied to assess the quality of the Ops, as follows: a) They should refer to only one element or idea (result), which happens in 63 per cent of the cases, b) They should be placed at the correct level, which happens in 69 per cent of the cases. The ones that belong to other levels should be reformulated: a) Deliverables should be avoided (1a.3.1, 1c.2.3, and 1c.3.2), b) Outcome statements (STO) should be re-formulated (1b.1.2, 1b.3.3, 2a.1.3, 2a.3.1, 2b.1.1, 3a.4.1, 3b.3.3, 3b.4.3, 4c.1.6), and c) Impact statements should be replaced (1b.1.1, 2c.1.3, 2d.1.2, 2d.4.3).

Indicators

For the four LTOs, there are in total 341 indicators, 107 (31 per cent) at short-term outcome (STO) level and 234 (69 per cent) at Output (Op) level. At the STO level, 24 (22 per cent) have priority 1 (Tier1), 29 (27 per cent) have priority 2 and 54 (50 per cent) have priority 3. At the Op level, 18 (eight per cent) have priority 1 (Tier1), 65 (28 per cent) have priority 2 and 151 (64 per cent) have priority 3.

The total number of indicators exceeds the recommended number to allow for an efficient monitoring system. Some recommendations are formulated to reduce the number of indicators:

- Indicators currently used for the annual report and in the infographics on the SRF site are the most relevant at present. The tier system should be operationalized in this regard.

- From a technical point of view, it seems reasonable to focus priority 1 indicators at Output level for the following reasons: (i) these indicators have the highest level of attribution to IOM, (ii) the rigor of the data collected is higher than for Outcome level indicators, as methodological considerations are less complex and thus the risk of different criteria being applied by different actors in the monitoring chain is reduced as well, (iii) the availability of data at project/programme level is higher (as contextual factors have a lower impact on it), thus reducing the likelihood of having big variations in the number of data collected per indicator.

- Regarding distribution, it seems reasonable to distribute indicators evenly throughout the 12 components of the SRF; e.g. the 12 LTOs. The causal link between the Output and the outcome (STO) level should be observed, i.e. to have 2-3 Output level indicators and one Outcome indicator per LTO, and assign priority 1 to only 12 Output indicators (one per LTO).

- The analysis of indicators with Priority 1 at Output level shows that they cover the majority of the long-term outcomes (LTO) but some LTOs have more representation than others. Ensuring only one indicator at output level with priority 1 per LTO would bring a fair and equal distribution of monitoring effort to all LTOs. In that line, the following should be corrected: LTA 1a has 3 indicators, 2c has 3, 3a does not have any, 3b has 3, 4a has 2, and 4c has 2. Concrete recommendations of improvement for Output indicators with Priority 1 are:

LTO	Indicator ID	Indicator	Contributing Divisions/Units	Comment
1a	1a21a and 1a22c	# of staff who participated in capacity development activities to formulate integrated humanitarian, recovery, peace and development interventions (disaggregated by type of actor in 2 groups: staff and local stakeholders)	TRD / M&SD / PRD / MECR / HDPN	Merged indicators to simplify results framework
1b	1a15a and 1b32a	# of people who received health services or psychosocial support (disaggregated by type of support, age, gender, vulnerability*) * Including SEA, victims of trafficking and unaccompanied children	PXD / GBV / MHD / PRD	Merged indicators to simplify results framework
1c	1c11a	Volume of stocks released from IOM's global warehouses (as measured in MT)	PRD	
2a	2a11a	# of communities equipped with preparedness systems to manage their immediate response to disasters or climate hazards (disaggregated by type of tool, country)	TRD / MECR / PRD	Need to define what is meant by a preparedness system and what criteria are to be used to consider that a community has been equipped.

LTO	Indicator ID	Indicator	Contributing Divisions/Units	Comment
2b	2b31b	# of beneficiaries who have received protection related assistance including throughout the return and reintegration process (disaggregated by age, gender, vulnerability)	PXD	
2c	2c11a	# of beneficiaries actively engaged in the planning and/or implementation of recovery, peacebuilding and/or resilience programmes (disaggregated by type, age, gender, vulnerability)	TRD	We recommend choosing the most relevant indicator only
	2c13a	# of former associates of armed and/or violent groups receiving reintegration assistance (disaggregated by age, gender)	TRD	
	2c31a	# of crisis-affected people receiving compensation for lost housing and/or land and/or property, with support from IOM (disaggregated by type, age, gender, vulnerability)	TRD	
2d	2d21a	# of communities supported where access to sustainable health services is restored and/or developed (disaggregated by type, country)	TRD / MHD	
3a				We recommend assigning priority 1 to the most relevant Output indicator of LTO 3a.
3b	3b11d	# of initiatives developed with IOM support to counter smuggling and/or trafficking (disaggregated by type of initiative)	PXD / IBM	We recommend choosing the most relevant indicator only
	3b23a	# of countries supported to enhance their capacity to prevent, detect and/or respond to public health threats along the mobility continuum (disaggregated by type of initiative, region)	MHD	
	3b41a	# of immigration and border officials trained on developing inclusive (non-discriminatory, gender-responsive and child-sensitive) immigration and/or border management policies (disaggregate by type of official, gender)	IBM / PXD	
4a	4a12a	# of whole-of-government coordination mechanisms developed and maintained with IOM support to improve migration data collection, management, sharing, harmonization and/or use	GDI / MSD	We recommend choosing the most relevant indicator only. 4a12c is formulated as a process indicator; in which case it would be more correct to focus on data from the target group (and not IOM).

LTO	Indicator ID	Indicator	Contributing Divisions/Units	Comment
	4a12c	# of regional-level migration-data-related processes and initiatives supported (disaggregated by type of initiative)	MSD / DRD / GDI	
4b	4b22c	# of country or regional level UNNMs / coordination mechanisms that have been set up and that are inclusive of all levels of government and civil society	MSD / GCM / IPD	We recommend explaining the acronym and formulating the indicator more clearly as an Output indicator (as now it is formulated as an Outcome indicator). For example: defined mechanisms (instead of set up).
4c	4c13a	# of beneficiaries reached with awareness-raising campaigns to counter xenophobia and discrimination	LMI / MSD / MCD	We recommend choosing the most relevant indicator only.
	4c15b	# of settled community members supported by IOM who report having increased positivity and understanding towards migrants	LMI / PXD	

In the current distribution of Outcome indicators with priority 1, the following are in principle Output indicators, and it is advisable to move them to the Output level. As they are pointing to similar data than other existing Op indicators in some cases, we recommend either reconsidering their formulation or merging them.

CODE	INDICATOR
1a1b	# of persons reached directly by IOM crisis programming [CCCM, Shelter/NFI, WASH, Health, MHPSS, Protection, Movement assistance (land, sea, air), etc.] (disaggregated by assistance receive, modality used [in-kind, cash or vouchers], age, gender, vulnerability)
1a1f	# of people in sites benefitting from site improvements (disaggregated by age, gender, vulnerability)
1a1h	# of persons reached indirectly by IOM crisis programming [CCCM, Shelter/NFI, WASH, Health, MHPSS, Protection, Movement assistance (land, sea, air), etc.] (disaggregated by assistance receive, modality used [in-kind, cash or vouchers], age, gender, vulnerability)
1b3c	# of beneficiaries provided with direct humanitarian protection assistance (disaggregated by age, gender)
2d2a	# of migrants, displaced persons and/or other community members who access quality essential services, including housing, health, education, WASH, energy and/or social security (disaggregated by type, age, gender, vulnerability and modality [in-kind, cash or vouchers])
3a5a	# of beneficiaries supported with movement assistance (disaggregated by movement type, age, gender and modality [in-kind, cash or vouchers])
3b2f	# of PoEs supported to undertake preparedness and/or response measures for public health emergencies (disaggregated by type of POE, type of support)
4b1c	# of countries participating in assessments of migration policies and/or frameworks based on the Migration Governance Indicators

Finally, the following recommendations could be applied for all indicators:

- Avoid using the formula "and/or", as it leads to misinterpretations.

- As for the quantitative indicators with unit of measurement "number and percentage", explicit mention on how to calculate percentage should be added in the methodological notes (guidance on indicator metadata).

- A homogeneous, explicit approach should be defined on placing the indicators referring to the number of people, countries, or organizations reached by the programmes (for example: access to services and goods delivered by IOM programmes directly -WASH, MHPSS, cash, etc.). If only Op indicators are left with priority 1, as we recommend, the ones referring to number of people reached by IOM's programmes should be all at Output level.

- The causal approach should be strengthened between the Output and Outcome level indicators.

ANNEX 7 – COORDINATION FOR RBM AMONG RELEVANT UNITS

The establishment of the new Department of Strategic Planning and Organizational Performance (DPP) that comprises the IGF, Risk management, RBM, Central Evaluation, Operational Compliance and PRIMA Units is considered a relevant structure for the RBM Unit to operate, seek synergies and provide consistent and visible support for RBM at all levels. The following are the main interactions done across units/divisions to foster RBM since 2020.

At the **DPP** level, there is a positive perception on the level of coordination of the different units towards mainstreaming RBM. Since the SRF was developed in a highly consultative manner at the global level, having also relevant inputs mainly from the field. Regular outreach is conducted for such purposes, linking global ideas to the requirements and needs at the regional and country levels.

The **RBM Unit** is at the core of the coordination efforts done to mainstreaming RBM. When it comes to *annual report and strategic planning*, the unit coordinates closely with the Executive Office. The RBM Unit also coordinates with several offices responsible for the different elements of the project cycle towards ensuring that the project results matrices are adequately designed from the beginning for monitoring and evaluation purposes. The integration of the SRF in the piloted regional offices was done mainly in collaboration with the ROMEOs, who play the role of champions and entry points for regional and in-country integration. While the Central Evaluation Unit produced relevant M&E guidelines and institutional policies, provided training, and coordinated monitoring approaches including RBM (in coordination with the former unit), the support for the effective use of results matrices at mission level was left at the responsibilities of projects developers, M&E officers and/or managers. The RBM Unit considered that it was not sufficiently focused on results regarding monitoring related activities, weakening the reporting processes at the regional and country levels (activity focused). The Unit has also worked very closely with the PRIMA Unit to develop and introduce the SRF into PRIMA. Concerning data collection, and more specifically the IQ design and launch, the RBM Unit coordinated its review with 22 HQ divisions, which also include the sessions carried out by all ROs. In 2022, the IQ was updated and launched in a new platform, which was piloted in 10 COs. For reporting purposes, the Unit is responsible for providing the data and drafting the IOM Annual Report, in coordination with the Executive Office, who sets the strategic directions for the report.

The **PRIMA Unit´s** main stakeholders are the Regional Project Development Officers (RPDO), as well as finance officers, as they are ultimately the ones responsible for ensuring programme and financial data is adequately entered into PRIMA at regional and country levels. The coordination with the Finance and Accounting Division made the connection between PRIMA and PRISM possible, which among others, helped to report on budget and targets for SDGs. They are also having discussion with the Budget Division on how to transform the Organization into a partially top-down budgeting organization, considering that strategic (non-earmarked) funding is expected to increase and supplement earmarked funds due to, among others, RBM integration. In this line, the Resource Management Officers (RMO) have been very supportive of the process of integrating SRF in PRIMA for forecasting purposes too. Finally, and as already mentioned, the Unit has worked jointly with the RBM Unit to integrate the SRF into PRIMA. The support of the IOM Development Fund team has been essential considering their experience piloting the SRF into their projects in 2022. The IOM Development Fund team has also worked with PRIMA on the development and piloting of many modules over the years, not solely related to SRF.

The **Budget Division (BUD)** is expected to recruit a RBB specialist, and work together with the RBM Unit in the context of the ERP roll out, to bring about all the elements together so as to facilitate the field and the department´s work in consolidating budgetary data.

The Donor Relations Division (DRD) has supported the RBM Unit in promoting RBM, and particularly the SRF among Member States. The DRD focuses on informing Member States on the use of unearmarked funding and the linkages with the private sector, ensuring they are aware of IOM´s operational priorities. Although the DRD reported not actively promoting RBM, they provide information to Member States upon request and inform the RBM Unit in case specific information/presentations are needed.

The Central Evaluation Unit (EVA) work in RBM has been intrinsically linked to the work of RBM Unit (previous and current). EVA provided technical support on several issues, e.g., reviewing Strategic Vision and its link with the development of the SRF. The Unit has also provided support for ensuring the streamlining of RBM approach for both monitoring and evaluation. EVA carried out a joint assessment with DRD and the RBM Unit on the quality of results-based reporting at IOM, which started in 2018-19. EVA avoided participating to some of the set-up areas to avoid any possible conflict of interest when conducting its future central evaluations, for instance if providing support for the revision of indicators for the SRF. This was especially valid following the transfer of the Monitoring function to the RBM Un it. EVA suggested having M&E focal points and thematic experts designing the relevant indicators instead, keeping its support to overall guidance and recommendations, aligned with usual IOM M&E guidance. Representatives from EVA and RBM agreed that good levels of communication and coordination should be continued, when it comes for instance to starting the SRF rollout process.

The Coordination and Capacity Development Support Unit provides methodological guidance, initiatives and resources in the area of capacity-building, and was reported to have a limited inter-departmental collaboration with the RBM Unit.

The Knowledge Management (KM) Unit is updating a KM strategy, and the RBM Unit, EVA, PRIMA and others IOM departments and offices are part of the process. The interviews reveal a positive perception on the levels of collaboration with the RBM Unit. The most relevant issue in that regard was the revision of IOM´s Project Handbook, a key document to bring up all these different sets of knowledge system together and which can reinforce RBM by strengthening the reporting system in country office and regional offices. The KM team also provided support for the development of the RBM roadmap 2023, where they have presented a concept note for the development of the strategy. The RBM Unit is part of the IKM Working Group, and supported IKM in the design of the IQ KM questions and SRF indicators, which have also reviewed the working group with country and regional offices. The KM team explained and justified the selection of indicators, and the rollout of the SRF is a key element for the KM team as they can also draw knowledge from it, internally and externally.

The IGF Unit has liaison with the RBM Unit to implement relevant IGF work items under the IGF Workstream 1 on Foundational components. These activities included the development to a strategic planning, of the "MyIOM" tool, a capacity building initiative for Regional Project Development Officer and M&E officers on risk and operational compliance, as well as RBM skills enhancements and activities oriented to the improvement of results-based reporting. They also rely on resource management officers in ROs to ensure compliance with the IGF instructions and guidelines.

The IOM Development Fund Unit has liaised with the PRIMA team and requested ad-hoc support to thematic units/divisions for the integration of the SRF into their projects.

The **Staff Development and Learning** provides IOM personnel with a variety of development and learning opportunities across multiple platforms to address their learning needs based on their

current and imminent roles with a view to enriching the overall service delivery of the Organization. It is also the entity responsible for conducting project development (PD) and project management (PM) training across IOM and for ensuring that a regular PD and PM ToT is conducted.

At the regional level, the coordination with HQ for RBM mainstreaming has been done mainly with the RBM Unit, which provided tools and guidance for the integration of the SRF. Also, while strong coordination with RPDO was mentioned, coordination with the thematic experts was reported to be to a certain extent personality driven. The IOM Development Fund has piloted the SRF indicators in a set of projects in Kenya covering 57 different management sites in 2022 and all 9 IOM Regional Offices. The processes undertaken have included high-level webinars, but also a lot of technical training with PDs to get into the details of disaggregation, indicator selections, etc. The actual integration of the SRF into PRIMA is expected to start in the second quarter of 2023. The RO staff acknowledged the herculean tasks that the RBM Unit faced to develop the SRF, developing materials for the SRF, getting institutional buy-in and rolling out, especially considering the limited personnel and resources available to conducts such activities. It is also important to note that senior management in the RO and COs plays a key role in determining the priority given to the coordination efforts.

At the country level, the support has been received through the project development focal points, who are responsible to coordinate with the RO (the ROMEO) for the integration of the SRF and the overall RBM approach. In the case of Kenya, a retreat was held to jointly discuss how to align the country strategy to the regional strategy and the SRF. It was perceived that HQ focuses the attention on regional offices rather than COs, if ROs know the details and specific contexts of the countries under their region. However, this is not necessarily the case, considering the number of countries supported by each of the ROs. This might to certain extent explain the limitations of the SRF to address some of the specific context-related topics. At the country level the perception is that roles and responsibilities to implement the RBM approach are still not clear, and that while the RO counts with a focal point, someone at the CO should play that role too. Champions at the CO level are also needed.

ANNEX 8 – STRENGTHS AND WEAKNESSES OF RBM IN IOM

Based on the results of the case studies and interviews conducted at the global, regional, and country levels, the following are the main **strengths** identified for full integration of RBM in IOM. The information is presented in the order of importance as noted during data collection:

- **Better articulation of IOM´s work**: The RBM is a critical tool for IOM to communicate its work to the world beyond simply reporting on actions. It allows IOM to report on the real impact and contribution made at the different levels - global, regional, national, and sub-national - in a systematic and cohesive manner. It explains thoroughly how IOM supports Member States with donors and private sector's contributions in achieving external frameworks, such as the SDGs and GCM. The RBM showcases IOM´s value more easily and strategically, with a positive and clear impact of their work.

- **Articulation around existing outcomes and indicators**: The RBM approach operationalized through the SRF indicators allows COs to articulate their work around already existing outcomes and indicators, instead of trying to create something new at every project development. This impacts the way the project staff reports on progress in a more coherent way towards global frameworks in the United Nations system and at an internal level (Strategic Vision).

- **Greater influence in the normative work and policy development**: By implementing the RBM approach, the IOM has gained recognition as an organization well positioned to influence normative work and policy development in the field of legal framework for migration. Previously, the work of the Organization was more operational in nature, but with the addition of a normative element or policy component, IOM can now influence global norms and promote accountability and advocacy, as is for instance the case in its role within the global compact.

- **Use of data to improve decision making**: Once fully integrated by the Organization, RBM will impact more than just outcome level reporting. It will also allow for the use of data to make informed decisions, improve performance, and ensure strategic consistency.

- **Reinforcement of the monitoring and evaluation culture**: Applying the RBM approach has reinforced the culture of monitoring and evaluation, as participating in an evaluation encourages greater focus on results and impact throughout the project cycle.

- **Encourages collaboration between countries and promotes synergy**: At the regional level, it was considered important that RBM helps break down siloed work and enables incentives synergy generation across countries as well as among regions. Having a set of shared strategic objectives enables the contribution of different thematic areas to global results and promotes cross-thematically work towards common objectives. In addition, developing a regional work plan that operationalizes the Regional Strategy helps improving the articulation of the work, and improves the position of IOM to showcase the relevance of the aggregate work done in the field beyond project implementation reporting.

Regarding the **weaknesses and opportunities of the RBM approach**, the main ideas reflected by the IOM staff interviewed are the following:

- **RBM is not fully adapted to the different realities**: according to some informants, certain indicators defined for the country strategy indicators are broader than the SRF indicators. In some cases, the language is not flexible enough to represent the national context and some edits needs to be done to adapt to the way they collect data, and there are aspects related to aggregation (double counting) that need to be addressed at the HQ, the Regional and Country offices.

- **The number of SRF indicators**: The considerable number of indicators in the SRF reflects the need to prioritize them as a way to creating a more concrete strategic framework. Finally, there is a need to better articulate the indicators to the result that want to be measured.

- **Lack of guidance**: There is a need to consolidate some guidance documents and capacity building tools on the use of the SRF indicators and how these must be used to maximize RBM.

- **Large number of reporting channels and frameworks**: the high number of reporting channels (donor annual report, IQ, PRIMA, UNINFO, etc.) had a direct impact on the quality of the data presented mainly due to the overburden of the country level staff. With regard of the internal and external frameworks that guided IOM towards being a results-based Organization, these were also highlighted as too many, overloading the process of reporting.

- **Lack of funding allocation and qualified staff**: As no specific funding allocation is established to implement the RBM approach at regional and country levels, this impacts on the lack of qualified staff to support the correct implementation of the RBM. So far, the MIRAC provided support, but this was a one-off situation.

- **Projectization and decentralization of the Organization**: The project-orientation and decentralization of IOM, depending mainly on donors funding and constrained to report according to donor requirements, make more complicated to bring the RBM strategy in line with the nature of the Organization at the regional and country level.

- **Lack of management buy-in**: There is a need to reinforce the management commitment towards RBM implementation, and on the importance of collecting data using the available tools.

- **Earmarked funding oriented**: The earmarked funding is a limitation in terms of reach and possibilities for expanding the work. Without core funds, the CO needs to implement the donor priorities, not necessarily what is in the strategy. The initial mapping of donors helps aligning donors and IOMs' expectations, but the priorities of donors may change. In terms of access funding, it is entirely upon the mission to look for those sources, and the CO does not count much with operational resources coming from HQ.

- **No ToC available**: The SRF is not supported by a fully-fledged theory of change that identifies the key assumptions or conditions (internal and external) necessary for change to happen at all levels for the achievement of the Organization's strategy.

ANNEX 9 – ANALYSIS OF CROSS-CUTTING INDICATORS

Cross-cutting (CC) issues are included in a specific section of the SRF, which shows the efforts to clearly measure relevant progress towards mainstreaming and achieving these considerations. The SRF includes a total of 15 CC indicators, covering the key areas of Humanitarian-Development-Peace Nexus (HDPN), Gender Equality (GE) Mainstreaming, Disability Inclusion (DI), Prevention of and Response to Sexual Exploitation and Abuse and Sexual Harassment (PSEAH), Youth and Accountability to Affected Populations (AAP).

The level of incorporation of CC issues in the SRF results statement is carried out putting focus on the relevant indicators, as these are ultimately the specific commitment of the Organization towards contributing to advance in CC themes. **The analysis indicates that to fully comprehend and evaluate the relevance and sufficiency of the indicators considered for CC issues, guidance on metadata[61] for each indicator is essential. This also applies to programmatic and OEE indicators.** As a result, the analysis is limited to the information available, which is basically the indicator description.

Out of the 15 indicators, and based only on their description, 6 are adequately designed, 5 should be further specified (meaning their description is not clear enough to understand the nature of the measurement without additional guidance on indicator metadata), and 4 are not considered SMART, and should be revised. In terms of thematic areas, both indicators for HDPN are not considered SMART, while all the gender mainstreaming indicators are adequately designed (although specific information should be specified in guidance on indicator metadata). When it comes to DI, two indicators out of four are considered adequate (C3a2, C3b1), while the other does not meet the SMART criteria (C3a1, C3b2). All three PSEAH indicators are considered adequate, although specific information should be included in guidance on indicator metadata for further clarification in one of them. The two Youth related indicators are considered partially SMART, while the AAP related indicators meet the standard SMART criteria.

THEME	CODE	INDICATOR	STATUS
HDPN	C1a1	per cent of CCAs including displacement/mobility analysis and data about crisis contexts	Not SMART. It is unclear what criteria is going to be used to determine whether a CCA includes displacement/mobility analysis and data about crisis contexts. The indicator should be modified and be more specific (unequivocal).
	C1b1	per cent of our funding has 3 or more years agreement of our total operational budget in countries with a crisis context	Not SMART. Several variables are referred to: number of years of the funding agreement, relation to the total operational budget and country with/without a crisis context.
Gender	C2a1	per cent of applicable projects (i.e. projects not considered "N/A") coded 2a or 2b according to the IOM Gender Marker in PRIMA and PRISM	SMART
	C2b1	per cent of applicable projects reporting the inclusion of women and/or girls, or their representatives, during project development and/or implementation	Partially SMART. To ensure rigor of the data, it is advisable to specify in the methodological note exactly what scenarios qualify as inclusion of women/girls (directly or through their representatives) during

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[61] Metadata for indicators typically include the definition, rationale, calculation method, level of disaggregation, data collection and analysis methods, responsibilities and limitations of each one of the indicators included in a results framework.

THEME	CODE	INDICATOR	STATUS
			project development, first, and during project implementation.
	C2c1	per cent of applicable projects (i.e. projects not considered "N/A") reporting addressing structural barriers to GE, during project development and/or implementation	Partially SMART. To ensure rigor of the data, it is advisable to specify in the methodological note exactly what scenarios qualify for the indicator.
DI	C3a1	per cent of projects reporting increased uptake of services by people with disabilities during project development	Not SMART. It should be specified what is meant by an increased uptake of services by people with disabilities.
	C3a3	per cent of projects including a budget line for improvement of accessibility for persons with disabilities	SMART. There is potential (if the monitoring tools allow for an easy collection of data) to also provide in the report for the total budget invested in improvement of accessibility for persons with disabilities.
	C3b1	per cent of projects have a breakdown of beneficiaries by age, gender and disability in planning and monitoring documents	SMART
	C3b2	# of projects using established methodologies to collect data on persons with disabilities	Not SMART. It should be re-defined, taking as a basis a specification, of which are the established methodologies and what criteria are going to be applied to consider that a project is using them. We advise to use per cent of as a unit of measurement, as in the case of the rest of cross-cutting indicators referring to the projects.
PSEAH	C4a1	# of country offices who have signed the interagency SEA complaint referral Standard Operating Procedures (SOPs)	SMART
	C4a2	# of country offices participating in interagency PSEA Networks/Task Forces	Partially SMART. In order to ensure rigor of the data, it is advisable to specify what we understand by "participating in interagency PSEA Networks/Task Forces" (e.g., attendance to at least 50per cent of meetings, membership, etc.)
	C4a3	# of country office with programmes or projects which include elements of PSEA interventions/activities	SMART. The elements should be systematized (a list of elements that qualify and projects can identify easily).
Youth	C5a1	per cent of projects reporting the inclusion of youth as stakeholders or beneficiaries	Partially SMART. To ensure rigor of the data, it is advisable to specify in the methodological note exactly what scenarios qualify for the indicator.
	C5b1	per cent of projects reporting the inclusion of youth, or their representatives during project development	Partially SMART. To ensure rigor of the data, it is advisable to specify in the methodological note exactly what scenarios qualify for the indicator.
AAP	C6a1	per cent of IOM missions engaged in crisis-related programming are integrating AAP in country strategic plans.	SMART. However, to ensure rigor of the data, it is advisable to specify in the methodological note exactly what we mean by "integrating AAP in country strategic plans"

ANNEX 10 – LIST OF INFORMANTS

	NAME	POSITION	TYPE
1	Aamir Alavi	US Office of External Affairs	Donor
2	Allyson Block	Associate project development officer	IOM Country
3	Amir Gashi	Chief of Budget	IOM HQ
4	Beatriz Villa	Project Coordinator	IOM Country
5	Christophe Franzetti	Head Evaluation Office	IOM HQ
6	David Knight	Director of Department of Strategic Planning and Organization Performance/DPP	IOM HQ
7	Delphine VAN SOLINGE	Senior Migration Crisis Analyst	IOM HQ
8	Diana Cartier	Chief of Mission	IOM Country
9	Elizabeth Collett	Special advisor to the DG	IOM HQ
10	Elma Balic	Oversight M&E Officer	IOM HQ
11	Francisco Furlani	Ex'-'Programme Coordinator	IOM Country
12	Ginette Yvonne Kidd	Business Analyst Humanitarian Compendium	IOM HQ
13	Graciela Incer	Capacity Building for Development Unit	IOM HQ
14	Grant Robertshaw	PRIMA/Business Process Improvement Specialist	IOM HQ
15	Gregoire Goodstein	Director, Donor Relations Division	IOM HQ
16	Heys Jaoko	M&E assistant	IOM Country
17	Ishita Shruti	Head of Migration and Development	IOM Country
18	Isis Orozco	Programme Coordinator	IOM Country
19	Juliana Cassini	Canada Office of External Affairs	Donor
20	Justin Macdermot	Regional Deputy '-' Kenya	IOM Regional
21	Katia Barrech	M&E Capacity development	IOM HQ
22	Kieran Gorman-Best	Chief of RBM unit	IOM HQ
23	Laura Amadori	Head of Knowledge and Innovation Unit	IOM HQ
24	Laura Smith	ROMEO, RO Kenya	IOM Regional

	NAME	POSITION	TYPE
25	Lea Thiel	ECHO Relations with UN Strategic Partners	Donor
26	Lien Van Mellaert	RBM Officer	IOM HQ
27	Ljeoma Samuel	M&E Knowledge Management Associate	IOM HQ
28	Maria Jose Saborio	M&E Assistant	IOM Country
29	Martin Schmmit	ROMEO, RO San Jose	IOM Regional
30	Miwa Takahashi	Programme Manager (IGF)	IOM HQ
31	Palm Manuela	ECHO Relations with UN Strategic Partners	Donor
32	Pravina Gurung	Project Manager	IOM Country
33	Rayees Sulaimalebbe	Head of Sub Office, Kakuma	IOM Country
34	Sarah Harris	ROMEO, RO Vienna	IOM Regional
35	Sarah Lofti	Former head RBM unit	External
36	Sharon Dimanche	Chief of Mission	IOM Country
37	Shehryar Ghazi	Manage migration and governance portfolio	IOM Country
38	Venant Ndighila	Emergency Preparedness & Response Manager	Partner
39	William Jerningan	IOM Development Fund staff	IOM HQ

ANNEX 11 – TERMS OF REFERENCE

EVALUATION OF RESULTS-BASED MANAGEMENT AT IOM

Commissioned and managed by: **IOM Department of Strategic Planning and Organizational Performance, Central Evaluation**

EVALUATION CONTEXT

United Nations (UN) system organizations have been implementing results-based management (RBM) approach since 2002[62]. The mainstreaming of RBM has been progressing well, but with variations, within the organizations as noted by the Joint Inspection Unit of the UN system (JIU) in the 2017 review[63]. At that date, most organizations were at an advanced stage and were internally focused on enhancing RBM and making refinements. Due to conceptual, cultural, political, structural, and systemic factors, no organization had moved to the final stage, which would address the real added value of RBM and focus on managing for outcomes, applying systems operations and co-management, renewing the organization through evaluation, and applying collective accountability.

The International Organization for Migration (IOM) sets out the need in the IOM Strategic Vision 2019-2023 to establish a comprehensive, interactive, and forward-looking knowledge framework and system, in order to become a "learning organization". Such mechanisms aim the improvement of efficiency, effectiveness, optimal use of core resources, and provide for connectivity across the Organization. Important piece of the implementation of the strategy is RBM, with which most UN system organizations and donors have shifted from activity-based to results-based management, including results-based budgeting (RBB). Member States and donors have increasingly requested IOM to report on its results, and already in the initial version of Project Handbook 2012 (revised in 2017), IOM has made a move towards a results-based methodology for its projects.

The IOM embarked on a more comprehensive RBM approach in 2016 when it joined the UN system as the UN Migration Agency. Important developments have cemented IOM's position at the center of migration debate, including the adoption of Global Compact for Safe, Orderly and Regular Migration (GCM) in 2018, when IOM started supporting the signatory States that implement the GCM's framework on all aspects of migration as the Coordinator and Secretariat to the UN Network on Migration. To be able to strategically communicate the impact of its work and its comparative advantage, IOM requested the Office of the Director General in 2016 to follow on the Organization-wide adoption of RBM and the implementation of global reporting mechanism through an Institutional

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[62] The RBM policy elements are defined in General Assembly resolutions 67/226 of 21 Dec 2012 and 71/243 of 21 Dec 2016 on the quadrennial comprehensive policy review of operational activities for development of the UN system. Progress towards RBM is reviewed by JIU: Link to latest JIU report 2017. Per JIU and UN Sustainable Development Group definition, RBM involves management *strategies in individual UN system organizations based on managing for the achievement of intended organizational results by integrating a results philosophy and principles into all aspects of management and, most significantly, by integrating lessons learned from past performance into management decision-making.*

[63] The review focuses on 12 UN system organizations: (a) Six funds/programmes: UN Development Programme (UNDP), UN Population Fund (UNFPA), UN Children's Fund (UNICEF), UN Entity for Gender Equality and Empowerment of Women (UN Women), World Food Programme (WFP), Office of the UN High Commissioner for Refugees (UNHCR); (b) Five specialized agencies: Food and Agriculture Organization (FAO), International Labour Organization (ILO), UN Educational, Scientific and Cultural Organization (UNESCO), World Health Organization (WHO) and World Intellectual Property Organization (WIPO); (c) One entity of the UN Secretariat: Office of the UN High Commissioner for Human Rights (OHCHR).

Questionnaire (IQ)[64]. The IQ allowed the Organization to collect, twice a year, information from all offices worldwide on comparable results.

In 2019, the [MOPAN review of IOM](#)[65] noted performance improvements in certain areas, including RBM, but recommended reform of IOM's operating model and financial framework as the institutional budget remained unaligned with pre-defined objectives, also due to IOM's projectized structure. Through a budget reform and restructuring process of IOM Headquarters (HQ), the Organization has been undertaking an institutional review of key business processes under the [Internal Governance Framework](#) (IGF)[66] initiative. With IGF application, IOM aims to improve effectiveness, accountability, and transparency through streamlined processes, differentiated controls according to risk levels, as well as digitization and automation. Following calls by its Member States, the feasibility of shifting the institutional budgeting process towards RBM is currently examined and the Strategic Vision provides the foundation for such a reform, allowing for the development and implementation of a comprehensive RBB approach. However, IOM already initiated the development of RBB at project level with the roll-out of the new Project Information and Management Application (PRIMA)[67].

In 2022, IOM established the Department of Strategic Planning and Organizational Performance (DPP) including the newly created RBM Unit that replaced the RBM focal point within the Office of the Director General. The unit provides guidance on RBM and strategic planning and promotes consistency in the reporting of institutional results at global, regional, and country levels, including through staff training and a dedicated RBM community of practice. To further mainstream the RBM culture across the Organization, additional core resources have been allocated to RBM through the IGF since 2021[68], including for the recruitment of senior staff and to lead the development and implementation of a global Strategic Results Framework (SRF)[69]. The SRF has been one of the main focuses of IOM since 2019, aiming to operationalize the Strategic Vision and implement it through IOM regional and country strategies. Full programmatic and management indicators are currently being finalized, along with the regular preparation of Annual Reports and IQs.

The 'new generation' of RBM initiatives implemented since 2020 are tackling the improvement of (a) IOM's **strategic capacity to streamline decision-making and results-focused planning and management, (b) Institutional reporting** to strengthen the narrative on IOM's **comparative advantage and impact worldwide, and (c) Building of RBM capacities and culture among staff.** Additionally, the new RBM strategy for 2023 is currently drafted and will complement the RBM Roadmap of 2019. To be able to implement a comprehensive RBM strategy, IOM also needs the continued support from its Member States and donors.

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[64] Link to Institutional Questionnaire's reporting period January to December 2021: https://myresults.iom.int/

[65] The Multilateral Organization Performance Assessment Network (MOPAN) was launched in 2002 as a network of like-minded donor countries for monitoring the performance of multilateral development organizations at the country level. All members have a common interest in knowing more about the effectiveness of multilateral organizations, through joint assessments of these organizations, exchange of information and expertise in monitoring and evaluation. Website: https://www.mopanonline.org/home/

[66] The IGF states that *through a results-based approach, the Organization will be well placed to achieve its strategic objectives, measure such achievement, identify lessons learned and use such information to inform the next phase of strategic planning.*

[67] The aim of PRIMA is to facilitate effective, efficient, and results-based project management while incorporating effective monitoring and evaluation of project implementation performance, and promoting learning and accountability to migrants, governments, and donors.

[68] IOM's RBM efforts have been continually supported by MIRAC/IGF since 2019. Additionally, IOM's core funding for RBM has increased from one P2 position in 2019, to now a P5, P3 and P2 in 2022.

[69] The SRF, approved by the Director General in December 2021, defines IOM's global results. It is informed by the Strategic Vision, the [Migration and Sustainable Development Strategy](#) and [Migration Data Strategy](#). It brings together key elements from the GCM, SDGs, [Migration Governance Framework](#) (MiGOF). The SRF will allow IOM to fulfil external reporting obligations, as it is designed to capture IOM's support provided to national governments in the achievement of 2030 Agenda and GCM, whilst fulfilling other IOM's UN system-wide and cross cutting commitments (gender, disability, humanitarian-development-peace nexus, youth, etc).

EVALUATION OBJECTIVE

IOM's core institutional and operational strengths and prominence on the international scene call for a more rigorous results system closely linked to the Organization's Strategic Vision and requiring a revised operating model developed through the IGF. The Office of the Chief of Staff has developed a roadmap in 2019 to reach the objectives of a reinforcement of RBM in IOM covering the period 2020-2023 and DPP Central Evaluation (EVA) decided to include an evaluation of its implementation in EVA's biennial plan 2021-2022.

The overall objective of the evaluation is **to assess the implementation of RBM initiatives and the extent to which the RBM approach has created a results culture within the Organization, improved decision making and strengthened IOM overall performance and accountability to achieve its strategic objectives.** The evaluation will identify lessons learned that can inform the next phase of strategic planning (2024-2028) and the implementation of RBM.

More specifically, the evaluation is expected to document the process of RBM's implementation, to assess IOM's institutional approach to RBM and implementation of related systems across the Organization, and to identify whether the contribution of RBM to enhancing corporate results and impacts can already be identified. An assessment on the extent to which IOM's projectized environment affects its implementation will also be made. The evaluation will reveal how RBM is understood within IOM, and the extent to which RBM is fulfilling its purposes, and how it is being applied within IOM's specific hierarchy at all stages of the RBM cycle including strategic planning, implementation, decision-making, evaluation and learning, and results reporting. The exercise will in addition identify factors that have helped or hindered IOM's delivery of results and identify ways of maximizing helpful factors and addressing adverse factors. It will identify good practices, approaches, and areas of improvement relating to IOM's decision-making, management protocols for the establishment of comprehensive and collaborative RBM culture, as well as internal and external coherence.

The evaluation will be formative as it will inform on IOM's work related to RBM for the future, as well as summative, in that it will look at the extent to which IOM effectively and efficiently implemented the initial phase of RBM. The evaluation will look into how IOM mobilized its strengths, knowledge, and financial resources, and worked in conjunction with stakeholders, other UN agencies and donors.

The evaluation may not be able at this stage to fully answer whether the RBM approach is producing the expected change within the Organization to be defined a results-based organization. However, it will analyze the level of change compared to the situation prevailing in 2019 before the issuance of the roadmap and remaining gaps. To better define these expectations, the evaluation will develop a Theory of Change (ToC) detailing the necessary steps to be taken and the cultural shift required to implement RBM within IOM, in line with good practices within the UN System (as specified in the JIU benchmarking framework detailed under Evaluation Scope below) and taking into consideration the specific and projectized nature of IOM and relevant IOM policies, strategies, and initiatives.

The target audience for this evaluation includes IOM management, IOM staff involved in institutional and operational implementation of RBM approach at HQ and in the field, as well as interested donors, Member States, and international and local partners.

EVALUATION SCOPE

The evaluation will analyze the relevance and global performance of IOM efforts focusing on the OECD/DAC criteria of relevance, coherence, effectiveness and efficiency. It will also include an analysis

of the integration of IOM cross cutting themes of gender, disability, accountability to affected populations, environment and human rights-based approaches in the strategic papers and guidance related to RBM, whenever applicable. It is considered that the other commonly applied criteria of impact and sustainability are not yet relevant within the context of this evaluation as the IOM RBM approach is not yet fully implemented. The evaluation can however identify, for instance when establishing the ToC, areas where RBM impact can be measured and influence strategic approaches and decision making. An analysis of sustainability can also be included under the criteria of efficiency to identify the resources and collaborative efforts needed to support a full and continued application of IOM RBM approach.

The evaluation will mainly cover the period of RBM roadmap 2020-2023, although for the purpose of assessing effectiveness, reviewing the status of major efforts initiated since 2016 when joining the UN might be required. The scope will not focus on specific geographic regions and countries, it will assess the RBM approach under the diverse conditions and programmes in which IOM operates. In that context some specific case studies may be discussed during the inception phase. To frame the evaluation approach, the "Benchmarking framework for RBM system" developed by the JIU will be used[70]. During the inception and data collection phases, the evaluation will however examine whether the JIU's framework fits IOM's RBM approach, structure, needs and constraints, including its method for assessing the organization's RBM maturity level[71]. It will also offer some insight into how IOM may adapt its approach to meet international standards.
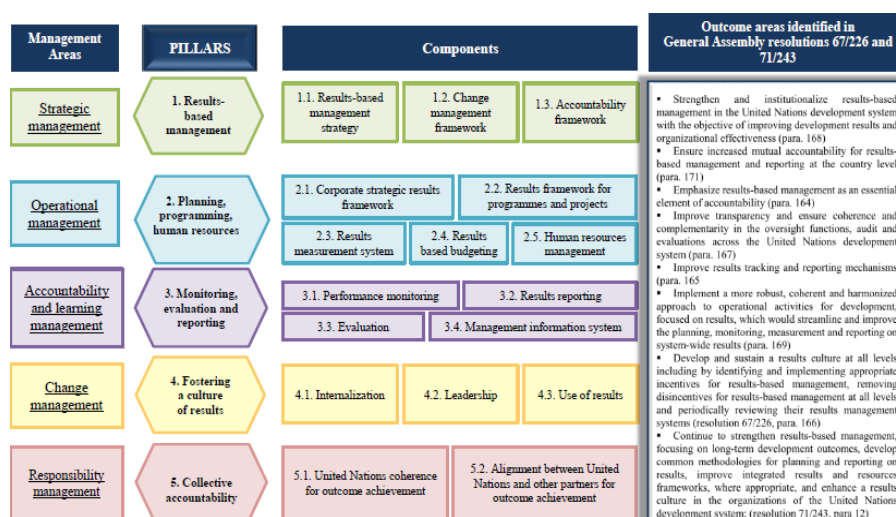
EVALUATION CRITERIA AND QUESTIONS

More specifically, the evaluation will answer the following questions:

<u>Relevance:</u>

- Are IOM's RBM policy(ies), strategy(ies) and system(s) framing and supporting its implementation relevant to international standards and in line with best practice in other UN system agencies as identified by JIU?

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[70] [RBM in the United Nations system: High Impact Model for RBM: benchmarking framework, stages of development and outcomes (JIU/NOTE/2017/1)](#)

[71] The JIU conceptualizes the progressive development in mainstreaming RBM in the management areas and the associated components in five stages of growth and development: (1) non-adoption; (2) exploratory; (3) ad hoc; (4) RBM broadly mainstreamed, yet internally focused; and (5) comprehensive focus on outcomes, with implications for organization-wide operation, partnerships, co-ordination, and collaboration.

- Is RBM approach relevant to meet the needs and expectations of IOM, Member States and donors, and is it applicable to all areas of work of the Organization?
- To what extent are/will be the different elements identified in the JIU benchmarking framework represented in the new RBM 2023 strategy?
- How relevant to IOM's mandate is the new SRF, including expected results, indicators, targets?
- Does the SRF integrate IOM cross-cutting themes of human rights, gender and disability-based approach, environment, and accountability to affected populations (AAP)?

Effectiveness:

- To what extent have the IOM targets for the implementation of RBM been achieved at this stage of the roadmap implementation (as seen in global, regional, and national efforts)?
- Have PRIMA, the IQ, the Annual Report and the SRF been effective in supporting the implementation of RBM and reinforcing RBM culture?
- To what extent has the guidance and support provided by HQ and Regional Offices been effective in facilitating the implementation of RBM and identifying good practice?
- What are the strengths and weaknesses of the RBM system (including corrective measures) that can be identified in HQ, Regional and Country Offices by IOM external and internal stakeholders, as well as through existing reviews?
- To what extent has RBM implementation influenced and facilitated the establishment of results-oriented strategic approaches, decision-making, overall reporting, accountability and learning within the Organization?
- What lessons can be learned from the initial stages of RBM implementation for the elaboration of future strategies and the development of a culture of results in IOM?

- How effectively does IOM coordinate, communicate, monitor, evaluate and report on the implementation of RBM approach and on its next phase(s)

Coherence:

- How does IOM guarantee internal coherence for the implementation of RBM and consistency in management buy-in, departmental collaboration, internal reporting, and partnerships?
- How does IOM guarantee external coherence and harmonization in the implementation of its RBM approach, for instance for reporting within UN national, regional, and global frameworks and/or with governments through the UN Network on Migration?

Efficiency:

- Are the systems in place efficient, adaptive, innovative, and cost-effective to support the implementation of RBM at the corporate, regional, and local levels?
- Are the different funding modalities and sources, and their in- or inter-dependence, influencing decision-making and implementation of the RBM approach?
- Has the staff received the necessary training, guidance, tools, and support required to implement RBM in IOM?
- Can the mechanisms for identification, planning and budgeting of resources needed for the implementation of RBM also guarantee sustainability?
- What additional resources may still be needed to further reinforce an RBM culture in IOM (for instance through training, recruitment of staff dedicated to RBM, promotional tool, fundraising, consolidation of reporting mechanisms, etc.)?

METHODOLOGY, ROLES AND TIMEFRAME

The evaluation will be conducted by an external consultant(s) under the supervision of DPP/EVA. The methodology will consist of an extensive documentation review, structured and semi-structured interviews with key staff and partners, electronic surveys with IOM staff and external partners and selected case studies.

The IOM Executive Office (EO) and the RBM unit will provide support for the conduct of the evaluation as the reference group (RG) for the evaluation, as well as relevant documentation, to help answering the evaluation questions and identify the internal and external structures, processes, policies, strategies, and programmatic approaches utilized to implement the RBM approach. The document review will provide insights into the maturity level of RBM in IOM as well as into the strengths and weaknesses of the system. Furthermore, the evaluation consultant(s) could analyze relevant evaluations, reviews and studies related to RBM from other international organizations, such as the JIU report or MOPAN reports, to be able to compare the level of development of RBM in IOM with that in other organizations. The RG will provide feedback on the inception report, the draft and final evaluation reports.

In collaboration with EVA, the RG will propose a list of key persons to interview inside and outside of IOM, which will be finalized in coordination with the consultant(s). In terms of stakeholder consultations, and with a view to better understand the results and leadership culture in IOM, as well as the strengths and weaknesses of the RBM system, various stakeholders could be consulted through semi-structured individual and group interviews and possibly also surveys. Relevant stakeholders could include IOM management and staff, as well as other UN organizations and permanent representations of IOM Member States and donors. With Covid-19 constraints still possible, the interviews will be carried out remotely (by phone, MS Teams, electronically via email or through similar means). If the recruited consultant(s) is(are) based in Geneva, some face-to-face interviews may be considered with Headquarters staff. Interviewees' input will be fully confidential.

The work will be accompanied by selected case studies and the final selection of a sample of activities and countries will be further discussed at the inception phase, based on proposals made by the consultant(s) in the inception report. The case study sample could include two to four field offices according to geographical, work area and financial criteria. It could include strategies and projects having already included RBM in their managerial practice. Data collection for case studies could include semi-structured interviews with staff working in that area and a review of their results framework.

EVA will discuss the conduct of electronic surveys with RG and finalize the survey material and target groups in collaboration with the consultant(s). Two different surveys may be developed to cover the data collection needs, one internal focusing on IOM staff and the other on external partners.

The use of various data collection tools (documentation review, interviews, mapping, evidence assessment and surveys) will facilitate triangulation of information collected, thereby increasing the reliability of findings, good practices, recommendations, and lessons learned, which will be presented in the evaluation report.

Draft evaluation report will be sent to the RG for comments after having been cleared by EVA. The evaluation is expected to start in September 2022 and a final report should be made available in February 2023. DPP will cover the costs for the recruitment of the external consultant(s) and will be responsible for the overall implementation and management of the exercise. Participatory workshop

may be organized to discuss preliminary findings, lessons learned and recommendations prior to the finalization of the evaluation report.

ETHICS, NORMS AND STANDARDS

IOM abides by the Norms and Standards of the UN Evaluation Group (UNEG) and expects all evaluation stakeholders to be familiar with the Ethical guidelines for evaluation of UNEG and the consultant(s) with the UNEG code of conduct for evaluation in the UN System as well. UNEG documents are available under IOM Evaluation Webpage www.iom.int/evaluation.

EVALUATION DELIVERABLES AND TIME SCHEDULE

The consultant(s) is(are) expected to provide the following deliverables:

- Inception report outlining data collection processes and analysis and including an evaluation matrix with further refinement of evaluation questions as well as the selection of case studies. An outline/draft of ToC or of what could be considered for the elaboration of a ToC should be provided as well.
- Draft and final evaluation reports of not more than 50 pages (excluding annexes).
- Evaluation brief (template provided by IOM) and draft management response.

Below is an indicative work plan for the conduct of the evaluation.

Activity	Timeframe/ deadlines	Indicative Working Days for consultancy	Who is responsible
Inception phase (including kick-off meeting and inception interviews)	September 2022	10 days	Consultant(s)
Review of the inception report and survey/interview material proposed	September-October 2022		EVA and reference group
Documentation review, surveys, interviews, case studies, and synthesis	October-December 2022	20 days	Consultant(s)
Evaluation draft report, including the RBM results framework and/or ToC	January-February 2023	10 days	Consultant(s)
Review of the evaluation draft report	January-February 2023		EVA and reference group
Finalization of the evaluation report and material	February 2023	5 days	Consultant(s)
TOTAL DAYS CONSULTANT		**45 days**	

CONSULTANT(S) QUALIFICATIONS

- A proven record of at least 10 years of experience in designing, managing and leading evaluations in the context of international cooperation and UN organization programmes (preferably IOM) and advanced degree in social and political sciences or related field.
- Thematic knowledge and experience in conducting RBM and organizational development related evaluations, as well as with migration and/or displacement evaluations.

- Advanced knowledge and skills in evaluation principles, methodology and best practice, categorization, mapping, mixed methods, and evidence synthesis.
- High proficiency in English, with knowledge of French and Spanish languages being an asset.

SUBMISSION OF APPLICATION

IOM is looking for proposals from service providers to deliver the outlined products. Service providers are requested to submit the following:

- A proposal with description of the approach, methodology, activities, work plan, deliverables and consultant(s) experience and expertise matching the ToR.
- Two examples of similar work.
- Three references.
- The budget in USD should include a detailed breakdown of costs per activity, personnel costs, and any other costs relating to the implementation of the tasks outlined in the ToR.

Contract period: September 2022 to February 2023.

A potential conflict of interest should be declared.

Only shortlisted candidates will be notified. IOM reserves the right not to accept any tenders submitted.

Proposals must be submitted via email sent on or before midnight **20 September 2022 (Geneva time)** to the following email address: eva@iom.int.

Should you need any additional information, please send your queries in writing to eva@iom.int.