International Organization for Migration (IOM)

The UN Migration Agency

OFFICE OF THE INSPECTOR GENERAL

Management Response and Actions
Global Emergency Response Level 3
Audit File No. 3P201902

The IOM Office of the Inspector General (OIG) conducted an internal audit of the Global Emergency Response Level 3 structure, operations and protocols management at the Department of Operations and Emergencies from 1 to 12 April 2019 at the Headquarters. While testing of emergency related operations was undertaken in two field locations under Level 3 status at the time of the audit fieldwork, country office Yemen (18 to 25 March 2019) and the Rohingya Response under country office Bangladesh (29 April to 6 May 2019).

The audit assessed the risk exposure and risk management of the Global Emergency Response Level 3 activities, in order to ensure these are well understood and controlled by the senior-level management and staff. The audit covered the activities of the Global Emergency Response Level 3 from 1 March 2017 to 28 February 2019. The results of the audit are public and can be accessed through IOM's global website[1].

OIG Internal Audit assessed the Global Emergency Response Level 3 structure, operations and protocols management as *partially effective*, and raised 21 audit findings and recommendations out of which 13 recommendations are of high priority. As of the date this summary is publicly available, 8 recommendations (*of which 6 are high)* were assessed as implemented and closed while there remain 13 open recommendations (*of which 7 are high*) are in the process of implementation as per below updates provided by the auditee.

Management Response and Actions to the Open Recommendation of Internal Audit Report of 3P201902 – Global Emergency Response Level 3

Finding No. 2 "Level 3 SOP Rationale and Concept Note" and Standard Operating Procedures Table needs to be reviewed and its implementation strengthened
Implementation on-going
- The Department of Operations and Emergencies is currently reviewing a first draft of revised L3 protocols, which clarifies the leadership and accountability lines following L3 activation between the Headquarters, Regional Office and Country Offices.
- Awareness has been raised on the standard operating procedures by their inclusion in the Emergency Response Induction Training and Senior Emergency Leadership and Coordination training, to help in their implementation.

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[1]https://www.iom.int/sites/default/files/about-iom/audit/3p201902-global_emergency_response_level_3.pdf

- Review of the standard operating procedures is ongoing to ensure they are fit-for-purpose and consistently being implemented in operations.

* Department of Resource Management – Emergency Support Unit is reviewing the draft standard operating procedures shared by Preparedness and Response Division to incorporate relevant section on Emergency Support Unit's role in L3 response.
* In coordination with Preparedness and Response Division and Human Resource Management, Emergency Support Unit has developed a set of generic pre-rated terms of reference for profiles commonly required in emergency response, for immediate use by missions.

Finding No. 3 An agreed leadership model to fit Level 3 emergencies needs to be established and an updated emergency response organizational chart at the Country Office level needs to be implemented immediately after Rapid Response Team deployment
Implementation on-going
The revised L3 procedures will clarify leadership roles and accountability structures following activation, including oversight and reporting lines for any deployments to the mission. The Senior Emergency Leadership and Coordination training for both EC and Chief of Missions contains modules specifically dedicated to the coordination between an EC and Chief of Missions and roles/ responsibilities within the mission during an L3.

Finding No. 4 Institutional deployment protocol needs to be strengthened in order to ensure that IOM staff are released to participate in surge teams and to supplement the Department of Operations and Emergencies Roster
Implementation on-going
- The Resource Management staff for deployment in L3 response are being identified by Department of Resource Management – Emergency Support Unit.
- Emergency Support Unit is working with Preparedness and Response Division on ensuring that the deployment protocol is clarified and included in the revised standard operating procedures to ensure all deployment requests are adequately coordinated with and notified to relevant staff members.

Finding No. 9 Lack of risk management plan for Level 3 operations
Implementation on-going
Awaiting response from the Risk Officer. A follow-up email was sent on 24 February 2021 to check the status of the Risk Management plan.

Finding No. 14 Migration Emergency Funding Mechanism administration needs to be reviewed
Implementation on-going
The Migration Emergency Funding Mechanism is being discussed as part of the ongoing Budget Reform. Overall, the request is for the Migration Emergency Funding Mechanism to be revamped/ modified and potentially be a hybrid Loan/Grant mechanism.

Members States have approved the transfer of Emergency Preparedness Account balance to the Migration Emergency Funding Mechanism and close Emergency Preparedness Account.

Finding No. 19 Inappropriate use of One-Time Vendor for cash disbursement to beneficiaries in Country Office Yemen

Implementation on-going

The vendor aging is regularly reviewed as part of month-end closure of accounts. All cash distribution is now being recorded as expense in PRISM on a timely manner.

The mission has not made progress in creating vendor group for beneficiaries, but this is something currently being considered together with planning for having a beneficiary management system to better monitor, control and manage the beneficiary accounts and distribution of assistance.

Finding No. 20 Fleet management issues in Country Office Bangladesh

Implementation on-going

Update of all vehicles and motorbikes was done. Same as Engine Numbers and Chassis Numbers were updated in PRISM immediately after audit notification.

OIG - Internal Audit Comment:

OIG Internal Audit notes the efforts undertaken by the involved parties to address a number of recommendations, and strongly encourages action owners to move forward with the implementation of the remaining recommendations.