

INTERNATIONAL ORGANIZATION FOR MIGRATION

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Summary: The purpose of the revised instruction is to outline the institutional framework for the use of monitoring as a management tool, within which all organisational units and staff are expected to track, measure and report on progress and achievements of strategic plans, policies, programmes, projects and organisational unit work plans, including monitoring of activities, results, budgets, expenditures and risks. The instruction also describes the purpose, scope and importance of monitoring in IOM, defines monitoring and specifies what needs to be monitored and by whom. Finally, it clarifies the role of the Office of the Inspector General (OIG) in the field of monitoring in IOM.

Keywords: Monitoring, management, policies, strategies, projects, objectives, outcomes, results, evaluation

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INTERNATIONAL ORGANIZATION FOR MIGRATION

MONITORING POLICY

BACKGROUND

IOM's internal and external environment has undergone significant changes in recent years, with an increased focus on migration worldwide. As the UN Migration Agency, IOM is a reference on migration, supporting the attainment of migration-related commitments of the 2030 Agenda for Sustainable Development (SDGs),¹ which is framed by the elaboration of the Global Compact on Safe, Orderly and Regular Migration as well as by the adoption of the IOM Migration Governance Framework (MiGOF). IOM also aims to be one of the principal contributors on migration data and analysis for the 2030 Agenda implementation and review,² in addition to its operational and pragmatic approach of managing migration. At the national and regional levels, IOM staff need to understand these processes and tangibly support the measurement of results, as well as how to effectively link the project results to larger strategic goals included in the MiGOF and the SDGs, and in other specific frameworks such as the Migration Crisis Operational Framework (MCOF).

IOM is considered an efficient and flexible organisation in its operational capacity, with a strong membership base and extensive field presence. IOM implements most of its projects and programmes through a large, decentralized network of Regional Offices (ROs) and Country Offices (COs). IOM aims to continuously reinforce its accountability and coherent strategic management with a focus on results based management (RBM), to strengthen organisational effectiveness and move towards evidence-based programming. Incorporating a results-based approach requires robust monitoring systems within the programmes and strategies IOM implements.

THE OBJECTIVE OF THE POLICY

The policy aims to present the definition and purposes of monitoring, demonstrate how monitoring should be included in IOM's processes and outline the key principles, norms, standards and procedures related to the function. The policy also describes expected monitoring roles and responsibilities inside IOM.

The broad objectives that monitoring is pursuing are to:

- **satisfy accountability obligations** by informing member states, donors, beneficiaries, affected populations, and other stakeholders on progress made in the achievement of results and the utilization of resources;
- **keep abreast of changes in the implementation context, risks and assumptions** to propose project, policy or strategy adjustments for effective service delivery, including early-warning signals;
- **inform decision making** by providing feedback to management on progress made and on changes in context, risks and assumptions, to enable the identification of problems and the implementation of timely remedial measures, to achieve planned

¹ Facilitate orderly, safe, regular and responsible migration and mobility of people, including through implementation of planned and well-managed migration policies.

² Powerpoint presentation "SDGs and Migration: A regional perspective" Presentation for the RCPs IOM -HQ, 5 July 2016.

results and to ensure that resources are utilized appropriately, efficiently and effectively;

- **draw lessons learned** on implementation through monitoring frameworks' utilization, to provide institutional feedback into the design, planning and implementation of future interventions and within overall knowledge management approaches.
- **guarantee inclusion of cross-cutting issues**, such as gender and accountability to affected populations, into activities related to monitoring.

THE DEFINITION AND PURPOSE OF MONITORING

The Charter of the Office of the Inspector General³ defines monitoring as “a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.” However, a broader definition is proposed as the current policy is not limited to operational interventions but is intended to also apply to other monitoring activities, for instance of policies and strategies: ‘Monitoring is an established practice of internal oversight that provides management with an early indication of progress, or lack thereof, in the achievement of results in operational, strategic and financial activities’.

Monitoring provides relevant information to determine whether the activity monitored is on track, with the progress made in achieving results. The aim of monitoring is to answer the question: are we successful and making progress in pursuing the results that we said we wanted to achieve, on time and within budget, or are corrective actions required to achieve those objectives or results? Monitoring also enables learning by collecting data and regularly examining if progress is achieved, what is it caused by (best practices). Similarly, if progress is not achieved, why and what lessons can be learned to improve ongoing or future interventions, also at the institutional level?

In other words, monitoring:

1. Is intended to track interventions' activities, results, budget, expenditures and risks to enhance the effectiveness of implementation being of a policy, strategy, project or work plan;
2. Improves the delivery of results and documents progress through systematic/methodical collection of data, which are synthesized through internal and/or external regular reporting (such as donor reporting or performance monitoring reports), as well as evaluations;
3. Provides feedback to operational planning, cost control and budget consumption, and facilitates decision-making for remedial actions when necessary.

Regular and participatory consultations with project partners, implementing partners, and beneficiaries are also of importance for effective monitoring.

PRINCIPLES FOR MONITORING

³ See under definitions in IN/74 rev. 1 – “Charter of the Office of the Inspector General”

Principles for monitoring at IOM are inspired from the evaluation norms and standards set out by the UN Evaluation Group (UNEG). Monitoring can apply to projects and can be extended to any activity or process such as policies or strategies (e.g. country, regional, departmental, or divisional strategies).

- **Credibility:** Monitoring shall be based on data and observations using systems and tools that can guarantee quality and reliability. Monitoring reports shall reflect consistency and dependability in data, findings, judgments and lessons learned.
- **Utility:** Monitoring must serve the information needs of the intended users for a maximum benefit. Monitors shall ensure that the work is well informed, relevant, and timely, and is clearly and concisely presented. Monitoring reports should present evidence, progress, issues and recommendations in a comprehensive and balanced way. Reports should be both results and action oriented.
- **Ethics:** Monitoring practitioners must have personal and professional integrity and should not reflect personal or sectoral interests. They must respect the right of institutions and individuals to provide information in confidence and ensure that sensitive data cannot be traced to its source. They must be sensitive to beliefs, manners and customs of the social and cultural environments in which they work, act in accordance with the IOM rules and regulations and other professional norms and standards, and must address issues of discrimination and gender inequality. Whenever they uncover evidence of wrongdoing, they must report it to the appropriate investigative body with the required confidentiality.
- **Impartiality:** Mitigating the presence of bias applies to any monitoring actions and reporting.
- **Transparency:** All stages of the monitoring processes should be transparent; consultation with the major stakeholders is essential and involves clear communication on a regular basis, as well as concerning the scheduling and scope of specific monitoring missions and activities. Documentation resulting from monitoring should be in an easily consultable and readable form to guarantee transparency and legitimacy.
- **Disclosure:** The reporting and lessons from monitoring shall be disseminated by establishing effective feedback loops to relevant departments, operational staff and when relevant to beneficiaries and other stakeholders.
- **Participation:** Whenever relevant, IOM monitoring activities shall be carried out with the participation of relevant stakeholders such as affected populations, donors, national and international government agencies, non-governmental organizations, civil society organizations, the private sector, and/or representatives of local communities.

To be effective, monitoring should be based on systems and elements that need to be:⁴

- ✓ **Specific:** A clear articulation of what are the expected results, policy objectives or strategy statements.
- ✓ **Measurable:** Monitoring used for a policy, strategy, project is unambiguously specified so that all parties understand what they cover and the practical ways to measure them.
- ✓ **Achievable and Attributable:** Monitoring identifies what changes are anticipated as a result of the intervention and whether the results are realistic. Information that is measured should be linked to the intervention and monitored objectively.

⁴ Monitoring systems and elements refer for instance to monitoring result frameworks and corresponding tools such as interview and survey forms and plans. Adapted from the Global Environment Fund Monitoring and Evaluation Policy, 2010

- ✓ **Relevant and Realistic:** Monitoring information establishes levels of performance that are likely to be achieved in a practical manner, that reach the intended recipients and that reflect the expectations of stakeholders.
- ✓ **Time-Bound, Timely, Trackable, Targeted:** The system allows progress to be tracked in a cost-effective manner at the desired frequency for a set period, with clear identification of the stakeholder group(s) to be involved. Monitoring needs to occur regularly and systematically throughout the duration of the process being monitored.

In high risk areas (e.g. due to security, complexity, multiple locations, and using multiple implementing partners) or fragile contexts, monitoring may require more frequent and rigorous monitoring regimen, including the set-up of remote monitoring systems.

BUDGETING FOR MONITORING

Costs associated with monitoring (such as travel related to monitoring, consultants, surveys, data analysis software, printing, reporting etc.) must be appropriately budgeted at development stage. In addition, where possible, specialized Monitoring and Evaluation (M&E) staff should also be included in projects budget or in department/office in charge of supervising the implementation of policies and strategies.

Additionally, funds need to be budgeted if there is a requirement for monitoring support from Regional M&E Officers, other Regional Office staff, M&E colleagues from other Country Offices or OIG staff at headquarters. The evaluation community suggests a provision of 3-6 per cent of a budget dedicated to monitoring.⁵

ROLES AND RESPONSIBILITY FOR MONITORING

The ultimate responsibility for monitoring rests with the appropriate manager or strategy/policy owner as outlined further below. IOM offices, especially large missions with multiyear financing, are strongly advised to consider hiring dedicated M&E staff to coordinate monitoring activities and to support programme managers, chiefs of mission, and other administrative and operational staff on a continuous basis. Collaboration and exchange of information, data and plans are key for an effective monitoring.

Overall roles and responsibilities by category

| Strategy/Policy/Project | Responsibility for monitoring* |
|---|--|
| Organisation-wide strategies or policies | Relevant Headquarters Departments/Divisions (e.g. the Human Resources Strategy by Human Resources Management – HRM; the Information Technology Strategy by Information and Communication Technology - ICT, the Migration Crisis Operational Framework by the Department of Operations and Emergencies - DOE, the Gender Policy by Gender Coordination Unit - GCU). |

⁵ This is a general guidance and may vary depending on the nature of the project, resources already available, donor requirements and implementation context.

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|--------------------------------|--|
| Regional strategies | Regional Directors in coordination with the Senior Regional Advisors. |
| Country strategies | Chiefs of Mission/Heads of Office in coordination with the respective Regional Directors. |
| Programmes and Projects | <ul style="list-style-type: none"> - Chiefs of Mission and Heads of Office are responsible for ensuring that the Programme Managers (PM) are monitoring or integrating monitoring systems in their projects. In the absence of PM, the Chiefs of Mission and Heads of Office can take the responsibility at their level or delegate another staff. - Programme Managers are responsible for monitoring their own projects. |

** Monitoring tasks can be delegated by the Directors of Departments, Regional Directors, Chiefs of Mission and Heads of Office to M&E Officers or other relevant staff. However, ultimate responsibility remains at their level. Coordination and joint monitoring may also be required, to be organised by the 'owner' of the policy/strategy/project.*

Roles and responsibilities across various levels within the Organization.

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|--|--|
| Office of the Inspector General | |
| <ul style="list-style-type: none"> - Provides technical support to offices worldwide upon request for monitoring requirements (policies, strategies and projects); - Conducts monitoring visits of high profile or high-risk projects requiring independent verification or urgent technical guidance, also in coordination with Regional M&E Officers whenever relevant; - Develops and/or assists in the development of monitoring policies and guidance materials for the Organization, to facilitate the implementation of effective monitoring, in coordination with relevant Departments; - Provides training on monitoring in coordination with relevant Departments and Regional Offices; - Manages a Community of Practice on M&E. | |
| Headquarters Departments, Divisions, Units, and Regional Technical Specialists | |
| <ul style="list-style-type: none"> - Provide monitoring guidance and instructions within their area of technical expertise (e.g. Migration Health for health projects); - Monitor their policies and strategies and ensure that project monitoring systems are linked to the strategic objectives; - Assist offices in finding timely solutions to problems through effective monitoring. | |
| Regional Directors | |
| <ul style="list-style-type: none"> - Ensure collaboration for monitoring the implementation of regional policies and strategies; - Instruct endorsement of projects in the region for ensuring relevant inclusion of monitoring systems. | |
| Regional Monitoring and Evaluation Officers | |
| <ul style="list-style-type: none"> - Develop/adapt tools, methods and workplans for monitoring at the Regional Office level, in coordination with the Regional Director, Country Offices and OIG based on assessed needs | |

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| <p>and priorities in the region;</p> <ul style="list-style-type: none"> - Provide technical support and capacity building on monitoring to offices and projects in the region, including liaising with relevant partners/stakeholders; - Conduct monitoring visits of high profile or high-risk projects requiring independent monitoring or urgent technical guidance, considering Regional Offices and OIG M&E annual work plans; - Prepare/supervise monitoring reports in a timely manner for sharing with relevant stakeholders. |
| <p>Regional Resources Management Officers</p> |
| <ul style="list-style-type: none"> - Provide support to Country Offices' finance staff in monitoring financial expenditure and budgets. |
| <p>Chiefs of Mission/Heads of Office</p> |
| <ul style="list-style-type: none"> - Ensure that all projects in the Country Office have sound monitoring mechanisms and tools in place and that the Regional Office is kept informed. |
| <p>Programme Managers (PM)</p> |
| <p>Primary responsibility for monitoring progress of the project, in both operational and financial terms, including what resources go into the project (inputs), what is carried out (activities) and what results come out (outputs and outcomes)⁶:</p> <ul style="list-style-type: none"> - Ensure that effective monitoring and control mechanisms are in place to gain assurance that items obtained under the project reach the targeted beneficiaries, and to prevent fraud; - Regularly monitor and measure progress, identifying and communicating any deviations or risks to relevant stakeholders and promptly taking corrective actions as necessary (such as requesting time extension, seeking donor approval to amend/revise the project activities, risk plan, results or budget); - In collaboration with finance staff, regularly review financial results, including line item reports, to minimize incidences of under/over spending, and where necessary, explain material under-over-spends and/or correct errors. |
| <p>Country Office Monitoring and Evaluation staff</p> |
| <ul style="list-style-type: none"> - Develop associated M&E tools and work plans at the Country Office level, including for implementing partners, in coordination with the Chief of Mission/Head of Office and the Regional Office, and based on a risks assessment of the projects being implemented within the country; - Provide associated technical support and capacity building to the office/projects on monitoring (input at project development, implementation and reporting levels); - Conduct monitoring visits in accordance with the work plan, including activities undertaken by implementing partners, and prepare relevant reports. <p>N.B. Several country offices have M&E focal points. Focal points may not be able to conduct all these monitoring responsibilities but can use these responsibilities as guidance for their role.</p> |
| <p>Country Office resource management staff</p> |
| <ul style="list-style-type: none"> - Assists PM in monitoring financial expenditure; - Ensure adherence with contractual requirements to donors and IOM procedures. |

⁶ Extracted from the full list of Project Manager responsibilities as set out in the Project Activation Request Form, annexed to IN/162 – Project Activation Request Procedure.

GLOSSARY OF OTHER TERMS

Below are a series of terms which are linked to monitoring. Some may be distinct mechanisms which still deserve to be mentioned for the sake of clarity.

- **Evaluation:** is an assessment, conducted as systematically and impartially as possible, of an activity, project, strategy, policy, topic, theme, sector, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact and sustainability. An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations and stakeholders.
- **Performance measurement:** is a system for assessing performance of an activity or intervention against stated goals within a strategy or project.
- **Performance monitoring:** is the continuous process of collecting and analyzing data to compare how well a project, programme or policy is being implemented against expected results.
- **Indicators:** are the quantitative or qualitative factors or variables to measure achievement or to reflect expected changes.
- **Objective:** it is the most significant, realistic goal to which the strategy or programme/project can contribute. It seeks to align to a broader, longer-term strategy, whether internal or external.
- **Outcome:** is the intended change in institutional performance, individual or group behavior or attitudes, or the political, economic or social position of the beneficiaries.
- **Output:** is the intended change in the skills or abilities of the beneficiaries, or the availability of new products or services as a result of the project or strategy activities.
- **Inputs:** are the financial, human, and material resources used for the development intervention.
- **Results:** are changes in a state or condition which derive from a cause-and-effect relationship. There are three types of such changes (intended or unintended, positive and/or negative) which can be set in motion by a programmatic or strategic intervention – its output, outcome and impact.