IOM Internal Governance Framework

A. Strategic, structure and other foundational components

- What should be achieved, who has the authority and responsibility to achieve it, and what are the risks to be managed throughout

B. Control design - set and implement rules, policies, procedures, processes and systems

- First line of defense*

C. Ongoing control, monitoring and reporting

- Second line of defense*

D. Independent assurance

- Third line of defense*

E. Grievance mechanisms, third-party wrongdoing and internal justice

Effective mechanisms to address grievances of beneficiaries, staff members and others, as well as third-party wrongdoing and staff misconduct

A1. Organizational values and culture (e.g. IOM Constitution; United Nations Charter; accountability; transparency; independence; responsiveness; efficiency; effectiveness; cost-effectiveness)

A2. Vision, strategy, objectives and results-orientation

- (a) IOM Strategic Vision and planning
- (b) Strategic planning at all other levels, by theme, taking a results-based approach
- (c) Resource base/funding structure
- (d) Sound legal basis
- (e) Results-based approaches to management, budgeting and resource mobilization/allocation/utilization
- (f) Information and knowledge management
- (g) Innovation
- (h) Change management

A3. Organizational structures, reporting lines and clear assignment of roles, responsibilities and authority

- (a) Organizational structures and reporting lines
- (b) Terms of reference/job descriptions for all staff members and internal bodies
- (c) Segregation of duties
- (d) Delegation of authority
- (e) Internal information-sharing and communication

A4. Risk management

- (a) Clear commitment and approach to risk management
- (b) Integration of risk management across all functions, operations, activities, procedures and processes
- (c) Business resilience and continuity

B1. Conduct, ethics and integrity (e.g. standards of conduct; zero-tolerance; prevention of sexual exploitation and abuse; prevention of harassment and sexual harassment; duty of care; medical ethics; anti-fraud; obligation to report misconduct; protection from retaliation)

B2. Fundamental principles (e.g. rights-based approach; accountability to affected populations; data protection; humanitarian principles; gender equality; environmental sensitivity and sustainability)

B3. Administrative and programmatic matters

- (a) Human resources; financial administration and management; procurement and supply chain; information technology and security; safety and security; programmatic activities within the migration spectrum (before, during and after movement); migration data and evidence; gender mainstreaming; project-specific requirements

B4. Operational delivery (e.g. project development and results-based management/reporting; project financial management; project-specific requirements; third-party management; project monitoring and evaluation)

B5. Personal development and accountability (e.g. staff capacity-building; staff performance management; awards/recognition; consequences for misconduct; gross negligence and non-compliance)

B6. Partnerships and dialogue with stakeholders (e.g. due diligence; initiation, development and retention of partnerships; joint programming/initiatives; standards and expectations)

B7. Information technology systems and solutions (align with and operationalize controls in B1-B6)

B8. Advice on the implementation of controls

C1. Functions that monitor and oversee the following:

- (a) Compliance with rules, policies and procedures
- (b) Effectiveness and suitability of controls established in column B, including processes and systems
- (c) Organizational performance and effectiveness, including implementation progress and quality standards of operations and administration
- (d) Risk management process and outcomes
- (e) Adherence to project-specific requirements
- (f) Implementation of the recommendations of oversight bodies, including addressing systematic issues
- (g) Quality of data (accuracy, validity, reliability, timeliness, relevance and completeness)

C2. Conduct, ethics and integrity (a) Confidential ethics advice and awareness-raising
- (b) Advice on declarations of conflict of interest and outside activities
- (c) Financial disclosure
- (d) Reviews of requests for protection against retaliation

C3. Reporting, including results-based reporting

- (a) Annual comprehensive reports to Member States on finances, operations and the effectiveness of internal governance
- (b) Results-based programme reports
- (c) Reporting on compliance with recommendations from oversight bodies
- (d) Internal reporting
- (e) Reporting according to external standards (e.g. the International Aid Transparency Initiative)
- (f) Reporting on risk management activities and outcomes
- (g) Annual list of disciplinary measures
- (h) Capturing and reporting on lessons learned and best practices, allowing for continuous improvement

C4. Reporting in the context of the United Nations system, including on results, as well as information-sharing with other United Nations agencies

D1. Internal audit

- (a) Conducted in accordance with the International Professional Practices Framework of the Institute of Internal Auditors
- (b) Monitors the implementation of recommendations and report progress to the Director General, the Audit and Oversight Advisory Committee and the governing bodies

D2. Central evaluation

- (a) Conducted in accordance with the United Nations Evaluation Group’s Norms and Standards for Evaluation
- (b) Develop an evaluation culture, policies and guidance, and provide related technical assistance and capacity-building
- (c) Promote organizational accountability and learning
- (d) Advise management on monitoring and evaluation

D3. Internal inspection

- (a) Review departments, divisions, units, offices, systems, policies and procedures when they are perceived to be at risk of failing to meet objectives, or to improve controls

D4. Internal investigations

- Conducted, subject to IOM’s specific requirements, to reflect applicable investigation standards

E1. Grievance mechanisms for various stakeholders

- (a) Affected populations: feedback and complaints mechanisms including for cases of sexual exploitation and abuse, and other misconduct
- (b) Staff members: informal (e.g. the Ombudsperson, the Global Staff Association Committee and National Staff Association Committees) and formal mechanisms (e.g. the Joint Administrative Review Board and the Administrative Tribunal of the International Labour Organization)
- (c) Non-selected or blacklisted vendors: mechanisms to challenge IOM’s decisions
- (d) Vendors, partners and consultants: arbitration (e.g. breach of contract by IOM)

E2. Process for cases of third-party wrongdoing (implementing partners, vendors and non-staff personnel)

- (a) Complaints/evidence of wrongdoing
- (b) Investigations (see D4, as applicable)
- (c) Administrative process/measures
- (d) Possibility for third party to contest (see E1(a) and (d), as applicable)
- (e) Refer to national authorities, as appropriate

E3. Staff misconduct process

- (a) Complaints/evidence of misconduct and gross negligence
- (b) Investigations (see D4)
- (c) Disciplinary process/measures
- (d) Possibility for staff member to appeal (see E1(b))
- (e) Refer to national authorities, as appropriate

* Refers to the Institute of Internal Auditors’ "Three Lines of Defense" model for assigning and coordinating duties relating to controls that facilitate the achievement of objectives and mitigate risks to their achievement.

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