

# IOM GUIDANCE ON RESPONSE PLANNING

FOR MIGRANTS VULNERABLE TO VIOLENCE,  
EXPLOITATION AND ABUSE



Funded by  
the European Union



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This Guidance was produced with the financial assistance of the European Union within the framework of a joint initiative it is implementing with UNODC in partnership with IOM, UNICEF and the Global Action against Trafficking in Persons and Smuggling of Migrants (GLO.ACT). The views expressed herein can in no way be taken to reflect the official opinion of the European Union or the United Nations, including UNODC and UNICEF.

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Publisher: International Organization for Migration  
17 route des Morillons  
P.O. Box 17  
1211 Geneva 19  
Switzerland  
Tel.: +41 22 717 9111  
Fax: +41 22 798 6150  
Email: [hq@iom.int](mailto:hq@iom.int)  
Website: [www.iom.int](http://www.iom.int)

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PUB2019/001/R

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# LIST OF ABBREVIATIONS

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IMF	International Monetary Fund
IOM	International Organization for Migration
NGO	Non-governmental organization
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
UN DESA	United Nations Department of Economic and Social Affairs
UNICEF	United Nations Children's Fund
UNODC	United Nations Office on Drugs and Crime
WHO	World Health Organization

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# 1. PURPOSE AND SCOPE

This publication provides guidance for carrying out planning processes related to the protection and assistance of migrants vulnerable to violence, exploitation and abuse. The objective is to strengthen strategic and operational responses and thereby to improve protection and assistance at the local, national and transnational levels. This Guidance should be considered as complementing the *IOM Handbook on Protection and Assistance for Migrants Vulnerable to Violence, Exploitation and Abuse* (hereafter the IOM Handbook).

The Guidance is intended for government officials and practitioners working on migrant protection and assistance worldwide. It can be applied in countries of origin, transit and destination, and in developing and developed contexts. Given that countries face different challenges when it comes to migrant protection and assistance and have various capacities and service delivery models, it would be impossible to come up with a one-size-fits-all solution; the Guidance is therefore intended as a general blueprint and is not region- or country-specific.

According to the IOM Handbook, “the term ‘migrant vulnerable to violence, exploitation or abuse’ means a migrant or group of migrants exposed to or with experience of violence, exploitation or abuse within a migration context and with limited capability to avoid, resist, cope or recover, as a result of the unique interaction of individual, household/family, community and structural characteristics and conditions”.<sup>1</sup> The IOM Handbook also states that “the term ‘migrant’ does not refer to refugees, asylum seekers or stateless persons, for whom specific protection regimes exist under international law, but it may refer to victims of trafficking in persons and smuggled migrants, who also benefit from particular protection regimes under international and national law”.<sup>2</sup> The term “vulnerable migrant” – used for stylistic purposes throughout this publication – should be understood to mean migrants vulnerable to violence, exploitation and abuse.

The Guidance has been drawn up as part of the project entitled Global Action to Prevent and Address Trafficking in Persons and the Smuggling of Migrants (GLO.ACT), a joint initiative undertaken by the European Union and UNODC. The project is being implemented in partnership with IOM and UNICEF in 13 countries across Africa, Asia, Eastern Europe and Latin America.

1 IOM, *IOM Handbook. Protection and Assistance for Migrants Vulnerable to Violence, Exploitation and Abuse* (Geneva, forthcoming), p. 3.

2 Ibid.





## 2. INTRODUCTION

National strategies and plans of action have been central to counter-trafficking efforts worldwide in recent decades, contributing to a more coordinated approach to combating trafficking in persons and facilitating cooperation between counter-trafficking stakeholders.

This publication provides guidance for the development of strategies and plans of action on the protection and assistance of migrants vulnerable to violence, exploitation and abuse. It responds to the needs of various stakeholders, including governments, civil society and international organizations. Indeed, the need to address vulnerabilities in migration and strengthen assistance and protection for vulnerable migrants is an integral part of the Global Compact for Safe, Orderly and Regular Migration.<sup>3</sup> The Global Compact stresses the need to “[e]stablish comprehensive policies and develop partnerships that provide migrants in a situation of vulnerability, regardless of their migration status, with necessary support at all stages of migration, through identification and assistance, as well as protection of their human rights...”.<sup>4</sup> It underlines the need for a whole-of-government approach to migration to ensure cooperation across all sectors of government; a whole-of-society approach to promote multi-stakeholder partnerships, including with local communities and the private sector; and international collaboration, since migration is inherently a transnational phenomenon.<sup>5</sup>

This publication is unique in that it is the first to provide guidance on how to develop strategies and plans of action for vulnerable migrants. IOM has been prompted to develop these practical guidance as a provider of both protection and assistance services to vulnerable migrants worldwide and technical support to its Member States with regard to migrant protection. As a provider of protection and assistance services, IOM works with a wide array of stakeholders within countries and across borders to meet the needs of vulnerable migrants. In addition, IOM Member States often turn to the Organization for support in developing strategies and plans that allow them to fulfill their responsibility to protect the rights of migrants. This publication draws extensively on the IOM determinants of migrant vulnerability model and framework for providing protection and assistance to migrants vulnerable to violence, exploitation and abuse.

<sup>3</sup> The Global Compact is the first-ever intergovernmental agreement to cover all dimensions of international migration holistically and comprehensively. It was adopted in Marrakesh on 10 December 2018.

<sup>4</sup> [Global Compact for Safe, Orderly and Regular Migration](#), para. 23.

<sup>5</sup> *Ibid.*, para. 15.

## **IOM determinants of migrant vulnerability model and framework for providing protection and assistance to migrants vulnerable to violence, exploitation and abuse**

### **The IOM determinants of migrant vulnerability model**

The determinants of migrant vulnerability model was specifically developed to identify, protect and assist migrants who have experienced or are vulnerable to violence, exploitation, and abuse before, during or after migrating, and to guide the development and implementation of interventions to reduce such vulnerability.

The model encompasses not only vulnerability but also resilience. It therefore considers both risk factors (which contribute to vulnerability) and protective factors (which improve capabilities to avoid, cope with or recover from harm), and the way that the two interact.

The model recognizes that migrants and the households/families, communities and groups to which they belong are all situated in a broader social environment. It considers both resilience and vulnerability to be determined by the presence, absence and interaction of risk and protective factors at different levels: individual; household/family; community; and structural.

Each factor, at each level, is considered to be either a risk or a protective factor, depending on the context. Further, each factor may have a different impact on the type of harm (violence, exploitation or abuse) migrants may be vulnerable or resilient to. For example, being female and travelling along a migration route plagued by widespread acceptance of sexual assault is a risk factor for experiencing such violence. Being a male migrant in a context where male migrants are perceived as dangerous is a risk factor for arbitrary detention. In many contexts, belonging to a higher socioeconomic group is a protective factor against a range of ill-treatment, such as labour exploitation or exclusion from education and health services. Being in a context where rights are protected empowers individuals and is a protective factor against violence, exploitation and abuse.

This approach therefore considers the vulnerability or resilience of migrants to violence, exploitation and abuse before, during or after migration as the net impact of the interaction of these factors at different levels.<sup>6</sup>

### **The IOM framework for providing protection and assistance to migrants vulnerable to violence, exploitation and abuse**

An appropriate, comprehensive and sustainable programmatic response is one that addresses the risk factors that contribute to vulnerability and mobilizes protective factors that enhance resilience, at all levels and with the engagement of all relevant stakeholders.

Depending on the level, responses will require the involvement of different protagonists, with expertise in different fields and various levels of capacity. Responses at individual and household/family level are typically delivered person to person, by case managers and service providers coming from different spheres: governmental, non-governmental and the private sector. They may be, for example, government social workers, doctors in private practice, or lawyers working for a non-profit organization.

Responses at the community level should involve the community itself, local government and other stakeholders, such as the private sector and development partners.

Responses at the structural level are typically the domain of local and national governments, regional or international institutions, and major development partners, such as United Nations country teams.<sup>7</sup>

6 IOM, op.cit., note 1, pp. 5–8.

7 Ibid., pp. 9–10.



## 3. DETERMINING THE NEED FOR A RESPONSE

The first step in any planning process is to determine the need for a response. In this case, the need to establish or strengthen protection and assistance for vulnerable migrants must first be ascertained; there are various ways of doing this.

### Migration-related events

A response may be needed owing to migration-related events, such as the unplanned arrival of large numbers of migrants through regular or irregular channels. This could be a single event – a ship of migrants arriving on a country’s shores – or an upward trend in migration, such as increased use of a migratory pathway that transits through a third country. The closure of a border or migration route, or a change in the policy of a country or regional body that affects the nature of migration, can also warrant a response.

Similarly, increasing instances of violence, exploitation or abuse involving migrants, reported either formally or informally, may require the establishment or strengthening of a response plan. Reports of fears or threats of violence, exploitation and abuse can also be sufficient rationale for the preparation of a response plan. Acts of violence, exploitation and abuse can be perpetrated or threatened by smugglers, traffickers, government authorities or officials, people posing as government authorities or officials, members of the migrant community, and/or local community members.

### Political commitments and legal requirements

The need for a response for vulnerable migrants can arise from commitments made by governments or local authorities in national or subnational legislative bodies, in political party platforms, in annual budgets or at high-level events; the commitment may have been made in a regional action plan or policy, or an international agreement or convention.

One of the most recent high-profile international agreements is the Global Compact for Safe, Orderly and Regular Migration, a non-binding agreement adopted by the United Nations General Assembly in December 2018. The Global Compact contains numerous commitments on protection and assistance for migrants in situations of vulnerability,

including addressing and reducing vulnerabilities in migration; preventing human trafficking; strengthening screening, assessment and referral; enhancing consular protection and assistance; providing access to basic services; and safe and dignified return and sustainable reintegration.<sup>8</sup>

The 2030 Agenda for Sustainable Development, which was adopted by the United Nations General Assembly in September 2015, aims to leave no one behind and comprises 17 Sustainable Development Goals and 169 accompanying targets, some of which are directly related to migration and migrant vulnerability. The following targets in particular address human trafficking, sexual and other forms of exploitation, violence against children and labour rights:

- Target 5.2: Eliminate all forms of violence against all women and girls in public and private spheres, including trafficking and sexual and other types of exploitation;
- Target 8.7: Take immediate and effective measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour, including recruitment and use of child soldiers, and by 2025 end child labour in all its forms;
- Target 16.2: End abuse, exploitation, trafficking and all forms of violence and torture against children;
- Target 8.8: Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, particularly women migrants, and those in precarious employment;
- Target 10.7: Facilitate orderly, safe and responsible migration and mobility of people, including through implementation of planned and well-managed migration policies.<sup>9</sup>

Existing legal frameworks (including both international law and conventions, and domestic legislation) should be reviewed. In so doing, it is useful to clarify whether certain categories of migrants, such as unaccompanied or separated child migrants or trafficked persons, can receive additional protection and assistance under legislation designed to afford them special protection and enhanced support.

The difference between the letter of the law and its application should be assessed, as there may be gaps between what should be provided and what is available or possible. Mapping, and assessing the quality of, existing services and support for vulnerable migrants can help determine whether current response mechanisms need to be bolstered to meet legal and/or regulatory requirements.

## Surveys and consultations

Information on the experiences of migrants, including the risks they face and incidents of violence, exploitation and abuse, can be collected through surveys and consultations. The migrants can be directly surveyed and consulted, using relevant guidance on research ethics, including informed consent, voluntary participation and confidentiality; the approval of ethics review boards may be required. To avoid research fatigue, which can happen when a group or individual is repeatedly asked to participate in research, surveys can also be conducted using service providers that are familiar with the context and interact directly with migrants. This can be a useful method for understanding the experiences of migrants without asking them to retell their stories directly.

Formal consultations can take many forms, but should ensure that the participants can share their experiences in a safe environment. Consultations can be conducted as focus group discussions, one-to-one interviews, using online platforms, or through telephone or text messaging surveys. The goal of the consultation process is to collect individual perspectives and identify trends or patterns. Formal consultation processes may be regulated by local authorities and can target migrants or others accustomed to providing services and support to migrant communities, government officials, law enforcement officials and/or local community members.

<sup>8</sup> See note 4 above.

<sup>9</sup> IOM, *Migration and the 2030 Agenda: A Guide for Practitioners* (Geneva, 2018).

Government ministries and departments, United Nations agencies, and international, civil society and non-governmental organizations should also be consulted, as should members of the public, especially if they will be affected by any response put in place to protect and assist vulnerable migrants.

#### • **The IOM migrant vulnerability assessment tools**

• The IOM Handbook provides a suite of tools for assessing the vulnerability of migrants and instructions for their use. The tools focus on risk and protective factors at the individual, household/family, community and structural levels. They are intended to be used in combination, in order to understand each migrant's vulnerability at the time and in the place of the assessment. The individual and household/family level assessment tools aim to provide a full understanding of an individual migrant's personal situation, while the community and structural tools aim to provide an overview of the overall context. The overall approach underlying this suite of tools rests on the understanding that it is the context that gives each factor either protective or risk characteristics. The assessment tools can be used in places of origin, transit, destination or return.

## Research and analysis

In addition to direct surveys and consultations, desk-based research can also inform the need for a response.

States may publish their own reports and statistics on migration, which may or may not be publicly available documents, but can be useful data sources. Governments may make public commitments or statements on the need for improved responses to migration, which can be useful to determine if a response is needed.

Research should draw on global resources such as the IOM World Migration Report and the UN DESA Migration Report, which are published annually. Other United Nations agencies, such as the International Labour Organization, UNODC, the Office of the United Nations High Commissioner for Human Rights and UNICEF publish annual reports and periodic thematic reports that often include information on migration and migrant vulnerabilities.

International NGOs may also publish reports or advocacy papers on migration-related issues that can provide useful descriptions of global trends and patterns. National NGOs or civil society organizations may publish reports on migrants or migration that offer a valuable perspective on relevant issues. Other relevant topics covered by NGOs and civil society that may be useful to review are child protection and well-being, gender-based violence, trafficking in persons, labour standards and labour migration.

Global, regional and national think tanks often publish reports on issues that can be relevant for desk-based research on the need for a response for vulnerable migrants. Some global think tanks that cover migration and related issues are the Overseas Development Institute, the Center for Global Development, the Royal Institute of International Affairs (Chatham House), the Institute for Public Policy Research and the Brookings Institution. Many other think tanks focus on regions or countries and may produce reports containing regionally specific data, evidence and analyses.

The academic literature found in academic journals can also be a useful source of information, as it presents peer-reviewed research and analysis. Some notable migration journals are *Migration Studies*, *International Migration*, *International Migration Review* and *Journal of Ethnic and Migration Studies*. Such journals may require paid subscriptions, but increasingly, academic research articles are available through open-source publishing.

In some cases, the media can also be a source of information and analysis of migrant needs. Some journalists focus on migration and migrants' stories and some media outlets on international or domestic migration in either print, television, radio or other media.

• **Migration: An emerging area of research**

• The concept of “migration” has long been studied, but the collection and analysis of data on migration trends and patterns and on migrants themselves, including their vulnerability, continues to grow as an area of research. • As a result, evidence is emerging that provides additional information that should be used to inform policy and programming.

• Critical analysis of the impact of migration policy and interventions aimed at providing protection and assistance to vulnerable migrants will improve collective understanding of what approaches are most – or least – effective. • Learning from previous efforts and thus adding to the evidence base means that interventions can be adapted for improved outcomes and different contexts.

• With the advent of the Global Compact for Safe, Orderly and Regular Migration and the continued focus on migration as a global policy issue, efforts to measure and test different approaches will likely increase. Their outputs can and should be used to inform planning for responses to situations in which migrants are vulnerable to violence, exploitation and abuse.

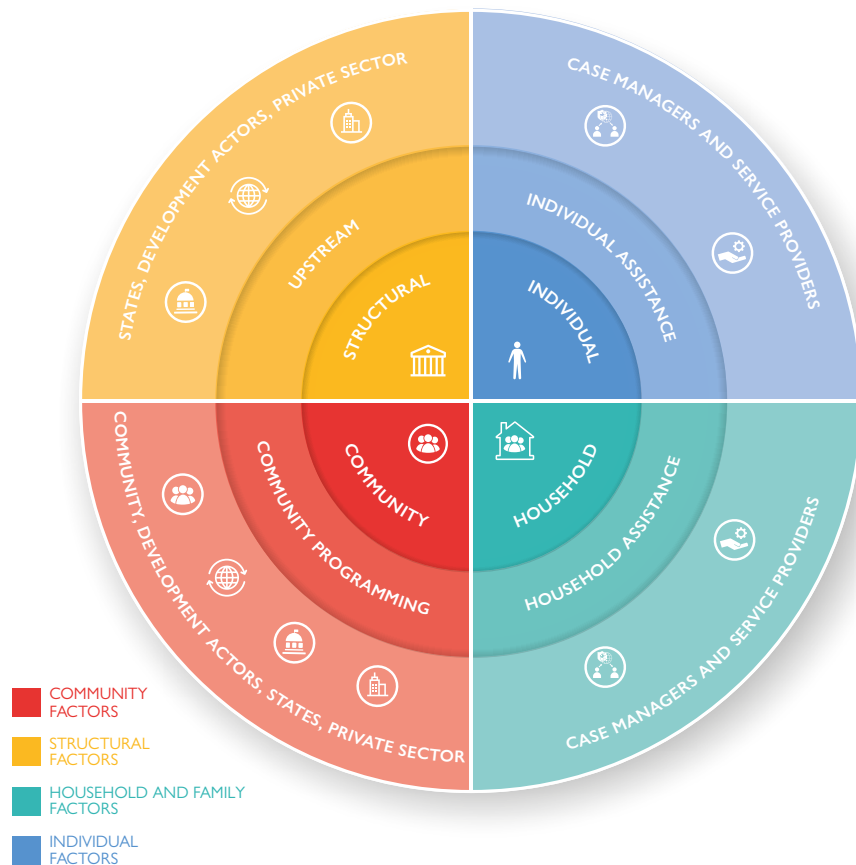


# 4. PLANNING A RESPONSE

## Determining the type of response needed

The IOM determinants of migrant vulnerability model (see page 4) should be used to determine what type of response is needed, as it will facilitate the process of identifying the interventions required at the individual, household/family, community and structural levels. Use of the model will lead to a holistic response aimed overall at improving the protection and assistance available to vulnerable migrants .

**Figure 1: Programmatic responses and relevant players at each level**



By determining the most appropriate response, the model ensures that risk factors contributing to migrant vulnerability will be addressed and protective factors enhancing resilience will be mobilized, at all levels and with the engagement of all relevant stakeholders. As such, the response should include targeted interventions at the individual, household/family, community and/or structural levels, which, ideally, should be combined to ensure a comprehensive approach and sustainable results.

## Individual responses

At the individual level, migrants who are vulnerable to or have experienced violence, exploitation or abuse require responses that directly address their immediate needs and the particular constellation of risk factors that contribute(d) to their vulnerability.

Examples of individual responses include safe shelter or accommodation; physical and mental health care; legal and consular assistance; education; skills development and training; livelihood and income-generating opportunities; opportunities for regularization of immigration status, family reunification, complementary protection, humanitarian and other legal statuses; challenges to immigration detention; return and reintegration services and support; and counselling on safe migration practices.

At this level, risk factors should be handled along a continuum, with some risk factors being more amenable to immediate solutions (e.g. a temporary lack of shelter), while others require more medium-term solutions (e.g. improving educational attainment) or longer-term or even lifetime efforts (e.g. treatment of some physical and mental health concerns).

## Household and family responses

At the household/family level, a holistic response requires understanding the position of and relationships between the individuals within the household and addressing any household/family factors that contribute(d) to their vulnerability.

Appropriate responses may include family tracing and assessment, best interest assessments and determinations for child migrants, alternative care arrangements for unaccompanied child migrants, responses to domestic or gender-based violence within the family, family reunification services, family counselling, livelihood and income-generating opportunities, and education.

Household and family interventions may require shorter- or longer-term approaches, depending on the particular risk factors being addressed.

## Community responses

Community programming tends to require medium- to longer-term approaches, as addressing community risk factors requires change to broader social, economic, environmental and cultural factors. Appropriate responses can include efforts to change attitudes and beliefs so that community members view all people, regardless of age, sex, race, ability or any other personal characteristic, as full and equal participants in the cultural, social, economic and political life of the community; efforts to encourage full and equal participation of boys and girls in education; public campaigns to inform communities about safe migration processes; capacity development programmes that improve community members' and leaders' skills, knowledge and resources for adapting to, mitigating and reducing the effect of climate change and environmental degradation; and community development programmes.

## Structural responses

At the structural level, programming tends to be longer term and is typically the domain of local and national governments and regional or international institutions. Structural change may require more time to achieve, but is also likely to have a wide-ranging impact.

Programming that aims to address structural factors can include improvements to national law and policies to ensure that they recognize migrant rights and offer adequate protection for migrants; the development and implementation of policies for safe and regular migration, including labour mobility; the pursuit of pro-poor and equitable development policies; improvements to the rule of law and response for human rights; and barriers to discrimination against specific groups.

### Migration Governance Framework

The IOM Migration Governance Framework sets forth the essential elements for facilitating orderly, safe, regular and responsible migration and mobility of people through planned and well-managed migration policies.

IOM's view is that a migration system promotes migration and human mobility that is humane and orderly and benefits migrants and society:

a. When it:

- Adheres to international standards and fulfils migrants' rights;
- Formulates policy using evidence and a "whole-of government" approach;
- Engages with partners to address migration and related issues;

b. As it seeks to:

- Advance the socioeconomic well-being of migrants and society;
- Effectively address the mobility dimensions of crises;
- Ensure that migration takes place in a safe, orderly and dignified manner.

Structural responses to migrant vulnerability should be guided by these principles and objectives.<sup>10</sup>

## Stakeholder mapping and consultations

Stakeholder mapping and consultations are essential parts of planning a response for vulnerable migrants. They can build on the initial consultation process used to determine that a response is needed.

Stakeholder mapping can vary from a simple listing of all known stakeholders that have an interest in or are affected by the response and its outcomes to a more sophisticated analysis of stakeholders' influence on the process and the intended outcomes of the response.

Stakeholders can be individuals or communities and organizations or their representatives. Stakeholder mapping should include those that will have clearly identified roles and responsibilities within the response strategy or plan and those that will be directly or indirectly affected by the response.

Common stakeholders in the development and implementation of responses for vulnerable migrants include government ministries or departments with oversight for immigration, social welfare, gender affairs, labour, health and education; United Nations agencies, international organizations and NGOs providing services to, or advocating on behalf of, migrants or vulnerable populations; representatives of communities hosting migrants; the private sector; and, importantly, migrants and groups that represent them.

Tools exist that can be used or adapted for response planning for vulnerable migrants. They range from sophisticated software designed for purpose or more rudimentary implements, but they should in all cases identify who the stakeholders are and analyse the impact and influence of each stakeholder or stakeholder group.

It may be useful to develop stakeholder management strategies where there are many stakeholders, where stakeholders can have a significant impact or influence on the outcomes of the response, and as a means of improving management and communication with stakeholders. In some instances, stakeholder management strategies may be required by law or regulation, in which case the stakeholder consultation process and necessary documentation will be specified and may be subcontracted to entities specializing in regulated consultations.

<sup>10</sup> Adapted from IOM, *Migration Governance Framework* (Geneva, n.d.).

## Roles and responsibilities in response planning

Response planning processes aimed at improving protection and assistance for vulnerable migrants should be headed by a government ministry or department. The specific ministry or department may vary according to the context.

Whichever government ministry or department is spearheading the response, it should have the capacity and resources to convene a response planning process. Governments may request technical and/or financial support from bilateral development partners, United Nations agencies and/or other international organizations. In cases where technical and/or financial support is provided, the terms and conditions should be clearly outlined in a memorandum of understanding or other partnership agreement confirming the roles of those leading and supporting the planning process.

In some instances, a regional approach may be useful, especially where there are pre-existing cooperation and coordination structures in place and known regional migration trends. Where inter-State consultation mechanisms on migration exist, they can be used to convene representatives of governments, United Nations agencies, international organizations and NGOs for dialogue on migration-related issues, such as the protection of migrants and their rights, smuggling and trafficking in persons, labour migration, and migration and health. Such meetings are usually informal and their outcomes non-binding, but they can shape migration policy, influence government-led responses or interventions, and facilitate strategic and operational harmonization between participants. Inter-State consultation mechanisms are also useful forums for the identification of good practice and development of guidelines and standards.

In some cases, subnational planning should also be undertaken, particularly where decentralized governance systems exist, when there are unique migration trends within an area or country, or where the geography and/or population are large and/or diverse. Local authorities in states, provinces and municipalities may also have parallel planning processes that offer opportunities to mainstream the protection and assistance of vulnerable migrants and that may be more detailed and prescriptive, as they are focused on a smaller geographic area.

## Designing the response

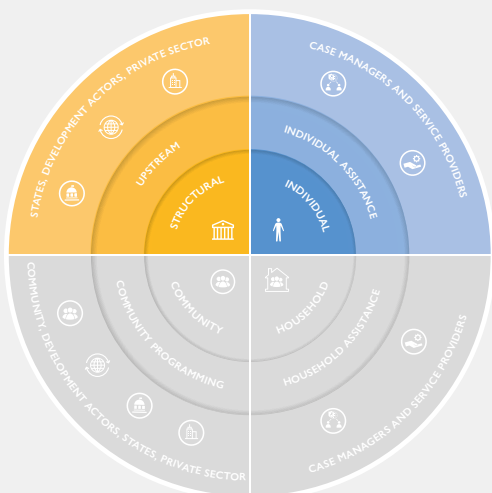
The type of response should be determined after the relevant stakeholders have been consulted and the needs identified and prioritized. For instance, it may be the case that, while improvements could be made at all levels of a response, the most urgently needed are protection and assistance at the individual level; or budgetary constraints may require that a certain area of a country that is struggling particularly hard to meet the needs of vulnerable migrants is prioritized.

Examples of how the determinants of vulnerability model can be used to inform the type of response required can be found below.

### Examples of programmatic responses based on the determinants of migrant vulnerability model

#### Example 1

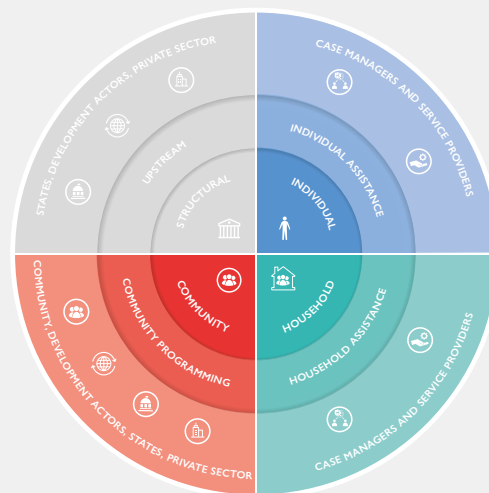
**Vulnerability:** A middle-aged man wants to move to a different county, but his visa application is denied. He decides to pay smugglers to get him there. He leaves with the smugglers by an overland route that requires travelling through several other countries. One of the countries is experiencing a political crisis and violence has broken out. The man does not speak the local language and does not feel safe on his own. His smugglers take advantage of the situation and lock him up, beat him, and threaten to turn him over to the authorities if he does not get his family and friends to send money. He is discovered by a cleaner who calls law enforcement. He is put in immigration detention.



**Programmatic response:** A comprehensive response would involve programming at individual and structural level. Individual programming could include legal assistance to help the man exit detention. Structural programming in his home country could include law enforcement action against migrant smuggling. It could also include efforts in the country in which he was detained to develop laws and policies to protect migrants subject to violence by smugglers.

#### Example 2

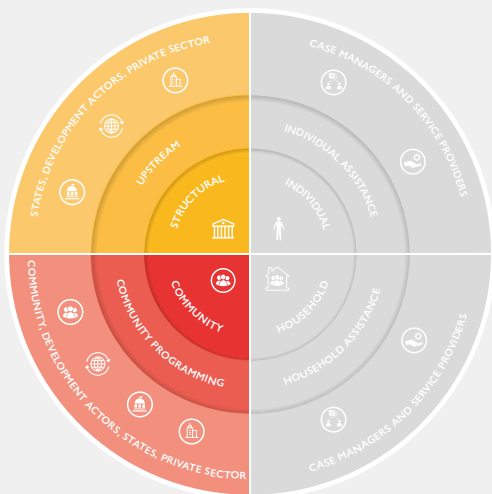
**Vulnerability:** An adult woman is sick with tuberculosis but there is no treatment available in her town. Eventually she becomes unable to work. Her partner is able to work, but there are limited employment opportunities in town. As the sick woman was the primary wage earner for her family, she is considering sending her eldest son, who is 16, abroad to work, even though neither she nor her partner want him to have to migrate for work – he is a talented student and they would rather he finish school. Also, the places where he could find work are known to mistreat migrant workers, and they want their family to stay intact.



**Programmatic response:** A comprehensive response would involve programming at the individual, household/family and community level. At the individual level, the woman requires medical treatment so that she can return to work. At the household/family level, income support or income-generating alternatives are needed, so that the son can stay at school rather than migrating alone. At the community level, programming to improve the availability of medical services and employment opportunities would improve this family's circumstances and resilience.

### Example 3

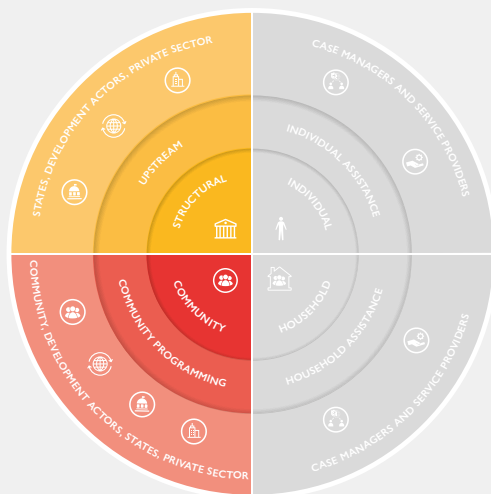
**Vulnerability:** A few thousand migrants have moved from their home country, which is convulsed by a long-running civil war, to a neighbouring country with better political and economic conditions, in which they have legal residence rights owing to a free movement of people agreement between the two countries. Most have settled in the same community. The host community was initially receptive but has grown resentful of the newcomers. Local business owners have started to refuse to serve the migrants, and health and education services regularly turn them away, despite the fact that they have the same rights to those services as nationals. Local law enforcement officials have started to harass the migrants and demand that they pay bribes to avoid arbitrary detention. A local factory employing many of the migrants takes advantage of the situation, knowing that the migrants are unlikely to report unsafe working conditions or wage theft. It stops providing them with appropriate safety gear and regularly underpays them.



**Programmatic response:** A comprehensive response would include community and structural components. At the community level, campaigns to make the host community aware of the rights of migrants and aimed at changing attitudes and behaviours could be implemented. Community leaders could be engaged to promote social cohesion and ensure that migrants have access to the services to which they are entitled. At the structural level, efforts are needed to address corruption and to uphold the rights of migrants. Structural interventions to improve political, economic and security conditions in the country of origin could prompt the migrants to spontaneously return to their country of origin.

### Example 4

**Vulnerability:** Abnormally high levels of rainfall cause a major river to burst its banks; several towns are flooded and tens of thousands of people displaced. The area is near an international border, and the people concerned are displaced both across the border and within their own country. The neighbouring country has long-standing problems with criminality, and trafficking networks begin targeting the cross-border displaced with false offers of jobs in the capital. Both local and national governments in their country of origin have been monitoring the displacement situation closely and quickly hear of the trafficking threat. A multi-agency, cross-border anti-trafficking committee is immediately established, which engages community members, local authorities and the national governments of both countries. The committee deploys outreach teams to inform the displaced and host communities about the risks of trafficking, and law enforcement officials launch an investigation and quickly apprehend the traffickers.



**Programmatic response:** In this case, community and national authorities responded rapidly and effectively, countering the immediate threat of trafficking. Additional programming at the community and structural level should be undertaken to resolve the displacement crisis and mitigate the risk of future displacement caused by flooding, for example by setting up early warning systems and pre-positioning flood barriers. The national government of the neighbouring country should work to improve the rule of law and eradicate the trafficking networks.

## Identifying target beneficiary group(s)

In any type of response for vulnerable migrants, the target beneficiary group(s) must be identified. These are the individuals who should derive primary benefit from an intervention, regardless of the level at which it is planned. In other words, a response may focus on changing the structural nature of a context, such as finding alternatives to the detention of irregular migrants, but the beneficiaries of this change will be vulnerable migrants.

Individual and groups of migrants vulnerable to violence, exploitation and abuse will have different characteristics in every context, and the migrants in a specific context will have different levels of vulnerability. For example, the most vulnerable migrants may be women and girls travelling alone in search of employment opportunities, adult men migrating irregularly on a newly established migration route or unaccompanied children identified in a transit country.

While some demographic groups are typically at higher risk of violence, exploitation and abuse owing to pervasive social norms (women and girls, children, lesbian, gay, bisexual, transgender or intersex people, people living with disabilities, people experiencing poor physical or mental health), it is important not to presume who is vulnerable except on the basis of data, evidence and historical and emerging patterns of violence, exploitation and abuse.

The analysis of data and evidence serves to identify specific individuals or groups as being particularly vulnerable or migrants from a certain country or region without regular immigration status, or certain ethnic groups that may be more vulnerable than others within the wider migrant population. The response plan may need to be tailored to meet their unique needs.

## Targeted and mainstreamed approaches to response

Response planning should articulate whether the strategy and action will use a targeted or mainstreamed approach – or a combination of the two.

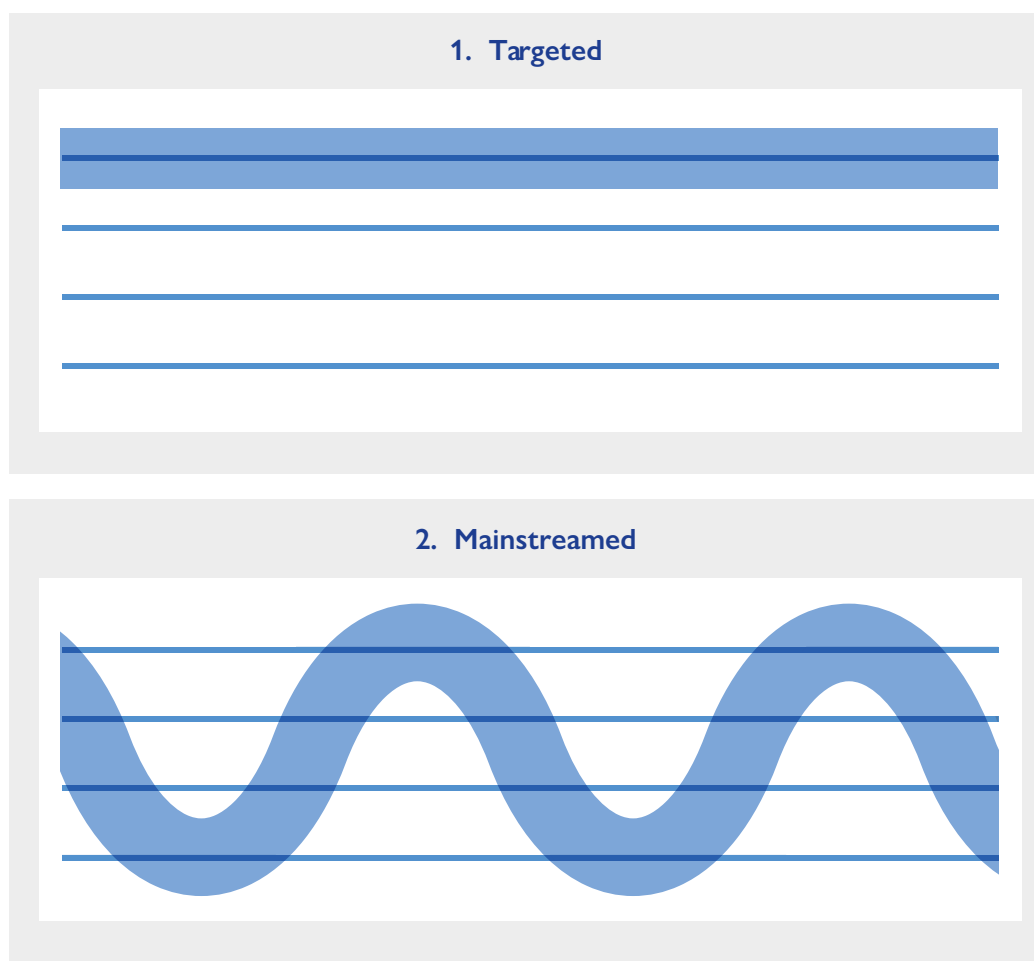
An example of a targeted initiative is the launch of a vaccination campaign that aims to reach migrant children specifically; the mainstreamed strategy would be to expand existing vaccination campaigns to include migrant children. Where a strategy takes both a targeted and a mainstreamed approach, it is often referred to as a twin-track strategy. An example of a twin-track response is one that comprises efforts both to integrate migrant children into the existing educational system and to target resources to ensure that migrant children receive additional classroom support and language training, so as to enhance their chances of educational success.

The benefits of a targeted approach are that specific needs can be addressed; it may be faster to develop and implement targeted actions, which can be useful in an urgent situation and may be easier to monitor and evaluate.

Mainstreaming the protection and assistance of vulnerable migrants into other planning processes also has benefits: it supports a holistic and systematic approach; improves access and removes barriers to existing protection and services for vulnerable migrants; provides opportunities to advocate for the rights and needs of vulnerable migrants; and embeds the needs of vulnerable migrants in relevant strategies and plans, potentially leading to more coherent and coordinated approach to meeting the needs of vulnerable migrants.

Responses to the needs of vulnerable migrants can be mainstreamed into planning processes related to migration management, humanitarian action, child protection, women's protection and empowerment, border management, labour and employment, refugees and asylum, business and human rights, or trafficking in persons.

The twin-track approach is good practice, as it can be used both to target the unique needs of vulnerable migrants – thereby ensuring that they are met – and to integrate them into other programmes to ensure that they are inclusive and do not exclude migrants.

**Figure 2: Differences between a targeted and a mainstreamed approach to response planning**

### • Mainstreamed response planning

• Key elements of successful mainstreaming<sup>11</sup>

- 1. Strong high-level political support to ensure sufficient political will and resource allocation.
- 2. Clear ownership by the relevant level of government of the planning process and its outcomes.
- 3. Early involvement of key stakeholders to establish effective partnership and buy-in to the planning process and its outcomes as well as improved coordination and communication between stakeholders.
- 4. Shared understanding of the objectives and agreed priorities of strategies and plans of action.
- 5. Respect for timelines, including deadlines prescribed by other processes, to ensure meaningful participation and consultation of all stakeholders.

The protection and assistance of vulnerable migrants can be mainstreamed into regional, national or subnational planning processes, including those with development or humanitarian aims. Examples of such planning processes are outline below.

## United Nations Sustainable Development Cooperation Framework

The United Nations Sustainable Development Cooperation Framework is a strategic, medium-term results framework that describes the collective vision and response of the United Nations system to national development priorities, based on a common country analysis. It takes the form of an agreement between a government and the United Nations country team that describes how the United Nations can help achieve national development priorities.

11 See Global Migration Group, *Mainstreaming Migration into Development Planning: A Handbook for Policy-makers and Practitioners* (IOM, Geneva, 2010).



The Framework process should identify vulnerable migrants as a population of concern and the resulting framework should reflect the needs of migrants in situations of vulnerability.

## Humanitarian Response Plans

Humanitarian Response Plans, also known as Crisis Response Plans, Joint Response Plans or Strategic Response Plans, are strategic approaches to responding to a sudden or protracted humanitarian emergency in a country or region and are headed by OCHA.

Like the United Nations Development Assistance Framework, the Humanitarian Response Plan outlines the roles and responsibilities of members of the United Nations country team in support of a government responding to a crisis situation. It begins with a humanitarian needs overview, which is used to outline the humanitarian needs of the people affected and identify the action required to meet them. It is used by the government and the country team to enhance coordination of humanitarian efforts and to raise funds for the actions listed. It can be used as a monitoring tool to determine whether the targets set in the plan have been met. Funding is tracked and published by OCHA on its Financial Tracking Service website.

In order to mainstream the needs of vulnerable migrants into the Humanitarian Response Plan, it is essential that those needs be reflected in the humanitarian needs overview and that the humanitarian coordination system, including its various components or clusters, identify any vulnerable migrants affected by the crisis.

## Return and readmission agreements

Return and readmission agreements are reciprocal undertakings by countries to facilitate the return of migrants to their country of origin or to a country of transit. Readmission agreements contain provisions on the identification and documentation of migrants, and on the infrastructure required to facilitate their return to their country of origin. They can be bilateral or multilateral and may focus on the citizens of a specific country, third-country nationals or stateless persons.

## Bilateral labour arrangements

Bilateral labour arrangements are cooperation frameworks between countries of origin and destination ensuring that labour migration takes place according to agreed principles and procedures. They can take the form of memoranda of understanding, framework agreements, protocols and inter-agency understandings, among others. Bilateral labour agreements create legally binding rights and obligations. They describe in detail the specific responsibilities of, and action to be taken by, each of the parties to accomplish their goals.

## National planning processes

Every country engages in national planning processes, which may or may not be supported by international stakeholders such as the World Bank and the IMF.

Typically, the process involves annual or multi-year central planning exercises convened by the ministry responsible for planning and/or budgeting. Outputs include a national budget, an outline of the government's priorities and planned activities for public services. Individual ministries also undertake planning exercises to develop a ministerial budget for planned ministry initiatives. Subnational levels of government also plan and budget, depending on the level of decentralization.

Multilateral organizations have made multiple efforts to improve national planning and budgeting over the years. Medium-term expenditure frameworks are intended to expand government planning beyond one year and to include longer-term planning, typically for three to five years.

Poverty reduction strategy papers are developed by countries that wish to access World Bank and IMF debt and loan relief programmes. Their specific aim is to reduce poverty, and, although they are developed by governments, they are implemented with partners. They promote broad-based growth and should be based in part on public consultation.

## National plans of action

National plans of action are often used to address specific issues or to meet particular goals. They articulate issue-specific needs, stipulate programmatic and policy responses to those needs, define the players and their responsibilities, and establish time frames for planned activities and costed budgets. Common goals include enhancing government responses to trafficking in persons, gender-based violence or labour migration. National plans of action often take a multi-disciplinary approach that encompasses government ministries and departments, United Nations agencies, international organizations, NGOs and civil society organizations. When drawn up outside regular government planning processes, they can make an issue a priority, focus attention on it, and set the stage for it to be incorporated into regular planning in the future.

## Community development plans

Community development plans are a public interactive form of planning in which stakeholders, and specifically community members, help formulate community development objectives and priorities, identify resources and implement activities. They constitute a “bottom-up” approach that promotes consensus and provides opportunities to focus on issues of concern at community level. They can inform higher-level government plans and budgets when used as advocacy and communication tools.

When migrants are residing in or transiting through a community they should be reflected in the relevant community development plan, which should include efforts to improve their protection and access to services.

## Preparedness and contingency plans

Local emergency preparedness or contingency plans outline the measures to be taken when disaster strikes (natural disaster or the outbreak of a conflict and/or disease). While they often focus on issues of service continuity relating to infrastructure, water, sanitation and food, they should also include provisions on protection and assistance for those affected by the crisis and plans to provide services to anyone who might be displaced. Preparedness and contingency plans should take into account migrants in the community and any expected influx of migrants arising from disasters in neighbouring areas.

Preparedness and contingency plans should be based on risk analyses that include the probability of events occurring and their anticipated impact. The measures proposed should be costed and assigned to entities able to implement them. Such plans should clearly outline the leadership structure, specify coordination mechanisms and identify the triggers and thresholds for the plan’s activation.

Other preparedness plans, such as for climate change, may take a longer-term perspective and be linked to reducing vulnerabilities and supporting resilient livelihoods. They should cover migration dynamics related to longer-term emerging crises.

## Response planning outputs

The outputs of a response planning process vary depending on the context and the type of response required. Common outputs are a national or subnational strategy or a response plan. The term “plan” is used throughout the rest of this guidance document for ease of reading.

Plans can take many forms, from a document that outlines all components of the response to interactive websites or smart phone applications. Whichever form the plan takes, it should have the components listed below.

- **Situation overview:** The overview should describe the situation and the need for the response, and include an outline of migrants’ vulnerability to violence, exploitation and abuse that provides background and the justification for the response.
- **Objectives:** These are the goals of the response, which can be short, medium and/or long term but must relate directly to the need for the response outlined in the situation overview. Objectives should be specific, measurable and achievable within the plan’s timeline. They should be predicated on baseline information and data collected during the planning and design process.

- **Guiding principles:** These are the values that will inform the response approach and that should be followed by all those involved. They may be provided by the government body responsible for the response plan or developed specifically for the response by its stakeholders.
- **Stakeholders:** All the organizations and individuals that will be involved in the response, with their roles and responsibilities, should be listed.
- **Activities:** All the activities that will be executed in the response should be listed, with each activity linked to the entity responsible for implementing or overseeing it. The level of detail should be commensurate with the plan's depth and scope, but should make clear what achieving the objectives involves.
- **Timeline:** Many activities in a response will be time-bound or sequential and this should be illustrated in the plan, including where activities are time critical or there are deadlines. Tools such as Gantt charts and other project management tools that illustrate activity dependencies and concurrent activities can be useful when a response involves many activities, takes a multi-year approach or involves multiple stakeholders.
- **Budget:** A costed budget must be provided that describes the costs that will be incurred in achieving the objectives (for more on financing a response, see Section 5 below). The budget should be aligned with the timeline and, if necessary, outline where there are funding gaps and/or fundraising is required, accompanied, if necessary, by a fundraising strategy.
- **Indicators of success:** These are the measures of success or key performance indicators that will be used to determine if the objectives have been achieved, including the means of verification. Like the overall objectives, they should be measurable. Indicators are often numeric and depend on the availability of baseline data. Where assumptions are made that can influence the achievement of objectives or in the measurement of indicators, they should be clearly articulated. For more information on monitoring and evaluation, see Section 6 below.
- **Risks:** A risk register is used to identify and manage risks to the successful achievement of the objectives. Risk registers can be of varying levels of sophistication, but their type and detail should be aligned with the overall plan and developed through consultation with stakeholders and intended beneficiaries, to ensure that risks are identified, rated and mitigated. Where there are significant risks to an intervention's success, risk mitigation strategies should be articulated and risk managers assigned to ensure that the intervention is consistently monitored and adapted as necessary.

## Coordination of the response

The response plan should clearly identify who will be involved and what their responsibilities are. One of the key functions to be identified is who will hold responsibility for coordination of the overall response.

Coordination may be assigned to an existing government or non-government body. Assigning coordination to a government body may improve accountability, enhance visibility and demonstrate importance, whereas assigning coordination to a non-governmental body may provide arms-length oversight that can allow for greater independence from political influence. In either case, a secretariat may be established exclusively for the purpose of coordination, especially if the plan involves many entities from various sectors and is working to address multiple levels of vulnerability over several years.

The coordination function should be outlined in the plan and, as such, should have an associated cost in the accompanying budget. Sufficient resources, both financial and human, should be allocated to ensure coordination can be carried out effectively.

The coordination body should ensure that all those involved are held accountable for the activities they are expected to carry out; it should also determine reporting schedules and formats for, and facilitate communication among, all concerned. It may establish forums for information-sharing, communication and alignment between players, including email and telephone contact lists, set up regular face-to-face meetings and platforms for online collaboration, and develop and distribute communication products.

Coordinators may be tasked with aspects of monitoring, reporting, evaluating and learning (see Section 6 below).



## 5. FINANCING A RESPONSE FOR MIGRANTS VULNERABLE TO VIOLENCE, EXPLOITATION AND ABUSE

Any response plan will be ineffective without proper budgeting and sufficient funding; these call for budgetary processes, identified sources of funding and/or fundraising strategies.

For government-led planning processes, the ministry responsible for central budgets (sometimes the Ministry of Finance or the Treasury) should be involved in both stakeholder mapping and the plan's development. This practice should also be followed if the plan is developed at lower levels of government.

Every country draws up budgets under different circumstances. Some countries have robust systems for planning and budgeting, while others rely on technical support from international entities to that end. In all cases, several factors should be considered, including the availability of government resources and the current political, economic and social context. The government's willingness and capacity to consult migrants and incorporate their needs and preferences into budgeting should be considered and supported when necessary.

Targeted interventions for vulnerable migrants are often not well integrated into national planning and budgets. Planning that includes sustainable protection and assistance for such migrants should be included in governmental planning and budgeting processes.

Approaches to budgeting should be both gender- and age-sensitive. Gender-responsive budgeting, such as that promoted by UN-Women, and children's rights budgeting as promoted by UNICEF, show how mainstreaming gender and children's rights perspectives into all steps of the budget process (planning, drafting, implementing and evaluating) ensures that budgets are inclusive and improves programme effectiveness. These approaches can be expanded to include migrants through "migrant-sensitive" budgeting.

A migrant-sensitive budget can improve the overall impact and inclusiveness of budgets and the associated interventions. For example, WHO promotes migrant-sensitive health systems and programmes that "incorporate the needs of migrants into all aspects of health services financing, policy, planning, implementation and evaluation."<sup>12</sup> To do this, WHO encourages planners to examine how each element of a health system must respond to migrant health needs, provide additional resources and capacities as needed, commit to a long-term approach and remove legal and financial barriers to access to services by migrants. This approach can be extended beyond the health needs of migrants (for a full outline of the various needs migrants may have, see the IOM Handbook).

<sup>12</sup> J. Fortier, *Migrant-sensitive health systems*, paper for the Global Consultation on Migrant Health, Madrid, Spain, 3–5 March 2010.

When drawing up any type of social budget (defined as the process through which a government's social protection goals and priorities are reflected in its budget), it is important to take a multi-year approach, as returns on investments to improve social services may not be observed in the short term (i.e. over the course of a single fiscal year). When it comes to migration, population and demographic changes may be cyclical or reflect long-term trends; this should be taken into consideration when preparing a plan and budget.

Insufficient or erratic funding can exacerbate the vulnerabilities in a population and among organizations providing services to vulnerable populations, including migrants. Take, for instance, an organization managing the cases of vulnerable migrants: if it has to stop and start services owing to interrupted funding, it may lose its clients' trust and cause harm inadvertently. Governments should therefore promote equitable distribution of resources to ensure that different populations are targeted according to their specific needs, based inter alia on their geographical location, socioeconomic status and other factors of vulnerability.

To ensure that funding for vulnerable migrant protection and assistance programmes is sufficient, predictable and timely, governments should identify funding sources. This can involve increasing spending levels, identifying new revenue sources, including development partner funds, or transferring resources from other budgets. Decisions to transfer resources from other programmes or budget lines must be based on consultation, to ensure that they are understood and accepted.

Government decision-making on budgeting should be transparent and accountable to the citizens and inhabitants of its territory. Governments should therefore strive to make investments that have demonstrable returns and are good value for money, in terms both of achieving the best-intended outcomes and providing goods and services at competitive costs.

To maximize spending efficiency, policymakers require data on and analyses of the per capita costs of service provision, quantifiable rates of return and accurate output measures. A budget is efficient when it produces the maximum output using available resources at minimum cost to achieve its stated aims.

Budget processes and final budgets should be accessible to the public, which, where possible, should be provided with opportunities to engage in their development and in monitoring and reporting.

## Budget models

As the budget reflects the government's priorities and willingness to resource them, budget development and documentation are essential elements in the response planning process. The budget is an integral component of strategic planning and is often of considerable interest to stakeholders.

Government budgets reflect the government's intentions to invest in sectors critical to the prioritization of protection and assistance for vulnerable migrants. Entities that may be involved in their development include United Nations agencies, international organizations, NGOs and civil society organizations. These stakeholders may provide technical support, help fund the process, influence the prioritization of available resources and/or advocate the inclusion of budget lines for certain services.

External factors that can influence government budgeting processes and allocations include the state of the economy and periods of economic contraction and stagnation, which can limit a government's ability to fulfil planned commitments or take on new ones. Global financial crises are particularly critical, as they can lead to reduced national incomes and have a negative impact on different industries, which in turn reduces tax revenues. What is more, the social programmes that are likely to be central to a plan for vulnerable migrants can be adversely affected in times of economic decline, when there are other pressing priorities and the demand for such programmes tends to increase.

### Line-item budgeting

Line-item budgeting is input-based and lists each expense – such as salaries, equipment and operational programme costs – on a separate budget “line”. Line-item budgets are useful when individual inputs are to be reviewed, assessed and prioritized. They are often based on historical expenditure and can help anticipate future spending. However,

they can also create incentives to spend the amount allotted to each line item regardless of need or effective use of funds, with an eye to maintaining specific budget lines in future budgets.

## Programme budgeting

A programme budget describes the detailed costs of every activity to be carried out within an intervention and is outcome-focused. It contains, for example, complete descriptions of the anticipated results of proposed programmes and of the resources required to achieve them. Programme budgets should be sufficiently detailed to provide understanding of the activities planned, the associated cost and the expected results.

The benefit of a programme budget, which can be less transparent than a line-item budget, is that it can incentivize performance and achievement of the objectives.

## Participatory budgeting

Participatory budgeting occurs when members of the public are invited to participate in decisions on how to allocate budget funds. This type of budgeting is most often used at lower levels of government, including municipal, where a single entity has full authority over the process. It is a bottom-up approach that can be carried out with varying levels of public involvement and consultation, from determining the items within the budget to deciding the amounts required to achieve the stated goals of the strategic plan.

Participatory budgeting can bolster support for government planning and budgeting and can demonstrate transparency and shared ownership of the process. It may be a challenge to incorporate migrants into participatory budgeting processes, as they may not have regular immigration status, have limited access to the systems used for budgeting, including online platforms, or not know the (official) language used.

## Costing a strategy or plan

Regardless of the type of budget used, an essential step is costing the budget so that the plan is accurate, achievable and understood by all stakeholders. To effectively cost a budget, it is important to consider all the costs incurred in executing the planned intervention, including any hidden costs, and to articulate those costs over the duration of the budget time frame. This may require research or specialized expertise, and previous budgets or similar budgets from other contexts may be useful for review and replication.

Some common items to be included in budgets for programming for vulnerable migrants are listed below.

- **Staffing:** This comprises staff providing protection and assistance services to beneficiaries, those involved in programme management and oversight, and support staff in functions that may be shared across other budgets, such as human resources, maintenance and finance.
- **Operating costs:** These are the supplies, materials, equipment and other items needed to enable staff to perform their functions. They may be tangible materials, such as office supplies, specialized equipment and vehicles, or recurring expenses, such as travel costs.
- **Rent or accommodation:** This covers the cost of securing or maintaining any premises required for the budgeted activities, which can include rent, maintenance payments and other services required to maintain the premises. Locations to be used for service delivery or for staff offices will likely have to comply with health and safety regulations, which may involve additional costs.
- **Furniture and equipment:** This encompasses items that have to be purchased new, such as those required in a new facility, and the repair and maintenance of used furniture and equipment.
- **Communications:** These are the costs associated with facilitating communication both internally and externally. Internal communication often requires Internet and telephone connections, plus the equipment required for communication, such as computers and telephones. External communication expenses can include public awareness campaign costs, hiring external contractors to carry out market research, develop messaging or design branding, and communications collateral and the costs associated with maintaining social media profiles and engaging with the public.

- **Direct programme costs:** Sometimes called operational costs, these are costs that can be directly attributed to programme activities. Depending on the type of programme, they can refer to the cost of providing education or health care to a vulnerable migrant or the cost of social protection programming aimed at reducing household vulnerability. Direct programme costs usually make up the largest portion of the budget, and the development partner or fund may stipulate the proportion of a budget that must be spent on direct programme costs.
- **Monitoring and evaluation costs:** These are the costs associated with monitoring the programme, either by internal or external monitors, and of any planned evaluations.
- **Research and development:** In programmes that are investing in generating evidence or good practices, the cost of this process should be reflected in the budget. It may include the cost of the research methodology proposed, of contracting external researchers and of disseminating any findings.
- **Overhead:** Overhead costs are usually calculated as a percentage of the total budget and put towards costs that are incurred across numerous programmes by functions that support the delivery of programme goals. Overheads can be used for fundraising, which can have a return in future years, for the upkeep of head offices, or for governance and managerial functions. Their amount is often determined by development partners or by government regulations.
- **Contingency:** A contingency provides a cushion for unexpected costs arising during the budget time frame. Contingency allowances are often determined by development partners or government regulations, which may set a percentage ceiling percentage that can be charged.

The budget should reflect any taxes to be paid; in some cases, costs before and after taxes have to be expressed. Taxes may include sales tax, import tax or property tax.

If the funding is to be distributed in tranches, this should be reflected in the budget. The funds may be evenly distributed throughout the budget time frame, but are usually disbursed by planned activities and on receipt of approved reporting. The budget timeline should therefore factor in the timing of distribution and should always match the time frame of the planned intervention.

## Inclusion of vulnerable migrants in government budget processes

Every budget cycle has several stages, each presenting opportunities to ensure that funding for the protection and assistance of vulnerable migrants is provided through targeted or mainstreamed programming.

At national level, the annual budget process typically begins with the Ministry of Finance, Treasury or similar executive body preparing a macroeconomic forecast and revenue projections, which are used to guide government expenditure and the planning and budgeting process. It is critical to ensure that governments have access to current data and the capacity to analyse them; where available, information and data on the economic impact of migration and migrants should be a part of this initial analysis.

The lead government entity usually issues guidelines, expenditure ceilings and timelines to line ministries for use in their respective budget planning. Line ministries then prepare and submit budget requests for review and approval based on their own planning and analysis of relevant data and information. Following consultations, prioritization exercises, negotiations and decision-making, a draft budget is produced that may be debated and then approved by the legislature. Depending on the country's governance system, further negotiations may be permitted or required before the budget is enacted.

In countries with decentralized governance structures, budget requests may originate at lower levels of government and move up from subnational to the national government. At each level, draft expenditure estimates may be categorized by line ministry, programme and/or sector, and there may be stakeholder consultations at some or all levels.

Once the budget has been finalized, the government entity responsible for any un- or under-funded items may request supplemental spending or engage in external fundraising.



The participation of United Nations agencies, international organizations, NGOs and/or civil society organizations can improve the final budget's responsiveness to the needs of specific populations, including vulnerable migrants. Through their advocacy, members of the public and civil society representatives can enhance the effectiveness of plans and budgets and can then hold the government to account for fulfilling the commitments made and for actual expenditure.

**Figure 3: The budgeting cycle**



## External funding sources

Where there are budget shortfalls, governments may rely on direct budgetary support or technical partnerships with development partners, United Nations agencies, international organizations or international NGOs. Fundraising strategies should be developed to bridge any gaps and map possible funding sources. Potential development partners should be assessed to determine if their priorities or funding criteria are aligned with initiatives to provide protection and assistance to vulnerable migrants.

Common sources of funding are outlined below.

### Bilateral funding

Bilateral funding refers to the funding provided by a single development partner, usually an institution or State, to a recipient, which can be another government, a United Nations agency or an NGO. The funds are administered at country or regional level, or from global Headquarters. Bilateral funding can lead to and strengthen partnerships between development partner and recipient; it can also provide development partners with more oversight and direct access to decision-making and influence over how funds are spent.

Often development partners provide resources and funding through their development agencies; examples are Global Affairs Canada, the United Kingdom's Department for International Development, the Japan International Cooperation Agency and the United States Agency for International Development. In addition, the European Union provides bilateral funding through the European Commission's Directorates-General for International Cooperation and Development and for Civil Protection and Humanitarian Aid Operations. It also finances the European Fund for the Integration of third-country nationals, which provides support to migrants meeting its criteria.

### Private sector funding

The private sector is a growing source of funding for programmes that target vulnerable migrants. Private companies can fund interventions directly or provide services in kind. They can also be major partners in the implementation of interventions, providing human resources, services or goods to the main implementing agency, particularly where programmes are intended to improve beneficiary livelihoods.

Private sector donors may provide funding based on their obligations, standards, business interests, personal convictions, or personal or professional ethics and social responsibility strategy. Recipients of private funds should engage in due diligence to ensure the donor's history, principles and operating practices are in line with their values and programme objectives.

## Multi-donor or pooled funds

A multi-donor fund is one that receives contributions from multiple donors and is held in trust and/or administered by a third-party fund manager. Donors to pooled funds can be institutional or State donors, foundations, private individuals or private companies. Fund managers can be United Nations agencies, NGOs or financial service companies. The fund manager oversees the fund's governance, including any advisory support, decision-making monitoring and reporting required from the recipients of any resources disbursed through the fund.

Pooled funds may be earmarked for a specific thematic area, such as HIV/AIDS or violence against women and girls, or dedicated to a specific country or region. Multi-donor trust funds can be more flexible and dynamic than bilateral funds, as they spread the risk and administrative costs among multiple donors and can provide smaller grants than are possible for large institutional donors. Pooled funds will often call for applications during specific windows and should have transparent assessment and award processes. Multi-donor funds can support interventions involving many partners or different interventions that are working towards a similar overall goal.

Select examples of multi-donor and pooled funds are described below.

**Country-based pooled funds:** These are established in humanitarian contexts to provide financial support for projects described in humanitarian response plans and developed through the humanitarian response planning cycle. The funds are typically distributed to United Nations agencies, international organizations and NGOs, and spent in partnership with local government counterparts. Funding distributed through country-based pooled funds is tracked on OCHA's public Financial Tracking Service website.

**IOM Development Fund:** This is a unique global resource aimed at supporting the efforts of developing IOM Member States to strengthen their migration management capacity. The Fund is designed to help harmonize the migration management policies and practices of eligible Member States with their overall national development strategy. Priority projects are identified by Member States in coordination with IOM offices worldwide and include activities that enhance migration management practices and promote humane and orderly migration.

**Start-Up Fund for Safe, Orderly and Regular Migration:** This Fund, which is also called the Migration Multi-Partner Trust Fund (Migration MPTF) and was established pursuant to the Global Compact for Safe, Orderly and Regular Migration, is a United Nations financing mechanism intended primarily to assist Member States to implement the Global Compact at national level. United Nations entities at the country level will conduct joint analyses with national partners to identify migration needs and design joint programmes to provide a collective response to those needs. The Migration MPTF supports the 23 objectives of the Global Compact and adheres to its 360-degree approach. It will also provide funding for regional and global initiatives in support of the Global Compact's implementation.

**Joint Fund for the 2030 Agenda:** This inter-agency pooled fund seeks to support United Nations Member State efforts to accelerate progress towards national sustainable development goals by providing the integrated and interdisciplinary policy support that can trigger responses to help achieve the paradigm shift towards sustainable development. The Joint Fund will provide programme countries with catalytic policy support in response to specific, complex and multidimensional policy challenges. To this end, it will draw on the multisectoral policy expertise that exists across the United Nations to enhance cross-sectoral government approaches to national and subnational policymaking and policy implementation. It will also provide financing at a scale and for a duration that allows for deeper policy engagement and innovative approaches.

Where a specific fund does not exist, a funding mechanism may be established by a government or supporting agency specifically for assistance to vulnerable migrants. This might be a useful approach to attract private sector financing or donations from the public, or to elevate awareness of an issue affecting migrants, such as lack of access to safe and secure shelter or of livelihood options.

# 6. MONITORING, REPORTING, EVALUATING AND LEARNING

Once the response strategies/plans and budgets have been drawn up and the funds needed for implementation secured, the intervention is implemented. To ensure that it is implemented in support of internal and external government commitments, on schedule and on budget, and in line with standards, and that it has the desired outcomes and impact, it is monitored, reported on and evaluated. To support continued and collective learning on what does or does not work, all interventions should be accompanied by learning processes.

## Monitoring

Monitoring is best effected throughout the implementation of a response plan, to ensure the quality and timeliness of activities and to oversee any partners involved in its execution.

Monitoring can be effected internally by existing mechanisms, including government bodies tasked with monitoring budget spending or regulatory oversight. It can also be effected by an external development partner, a fund manager or third-party monitors contracted for impartial and independent monitoring.

Monitoring entails, for example, site visits, partnership meetings and measurement of progress towards agreed targets and objectives. Regular monitoring during the implementation of a response plan can highlight challenges, including delays, budget under- or overspend and missed targets, which may require adjustments to the response plan, a change of partner or a shift in approach.

Development partners may stipulate the types and frequency of monitoring expected. The monitoring approach should be informed by a monitoring schedule and modalities agreed at the start of the programme by the relevant stakeholders, to prevent any misunderstandings about types and frequency of monitoring. Regular and thorough monitoring supports accurate and timely reporting against the response plan.

## Reporting

Like monitoring, reporting may be required by internal policy or by external donors or fund managers. Reporting often includes both narrative reporting to describe progress towards the targets of the response plan and financial reporting against a budget.

In some countries, the government mandates the type of reporting, which may include an annual report to parliament or other legislative bodies. Such reporting processes may require reporting against response strategies/plans, especially if budgets have been provided for their implementation.

International processes also require reporting that may be relevant to a country's response for vulnerable migrants. States must comply with reporting requirements, for example, under the Convention on the Elimination of All Forms of Discrimination Against Women, the Convention on the Rights of the Child, the International Convention on the Protection of the Rights of Migrant Workers and Members of their Families, and the Convention Against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment. They may also be called on to report on their implementation of the 2030 Agenda for Sustainable Development and the Sustainable Development Goals, and on the action they have taken to improve the human rights situation in their countries and to fulfil their human rights obligations within the framework of the Universal Periodic Review. Governments may request support to prepare and submit their reports against their international commitments, including information on interventions designed to protect and assist vulnerable migrants.

For intervention-based reporting, reporting schedules and templates should be agreed by all stakeholders at the outset of the intervention. For donor-funded interventions, donors usually require an inception report, mid-term report(s) and a final report. Reporting is also an opportunity to record any changes in the risks or assumptions of the response, any expected delays to the time frame or the achievement of targets, any requests for changes to a budget, and any lessons learned in the implementation of the intervention.

Reporting should be tailored to the intended target group. For instance, a report to an international treaty body should focus on State actions to comply with the treaty's requirements, whereas a report to an external donor will likely focus on expenditures against the agreed budget. Both will be communicated more formally than a report to the public, which may take the form of a media campaign and focus on outcomes and results.

## Evaluating

Evaluations measure the effectiveness, efficiency, impact and sustainability of an intervention and answer the following questions:

- **Relevance:** To what extent are the objectives valid and pertinent either as originally planned or as subsequently modified?
- **Effectiveness:** To what extent were the intended outcomes, results and outputs achieved?
- **Efficiency:** Did the resources used demonstrate value for money in relation to the achieved results?
- **Impact:** What were the positive and negative, primary and secondary, short-term and long-term, intended or unintended impacts produced directly or indirectly by the intervention?
- **Sustainability:** Will the outcomes and impacts continue to be observed beyond the period of the intervention?

Response planning should arrange for evaluations from the outset and budgets should include the associated costs. Evaluations should be independent and impartial; academic institutions or external evaluation specialists may be engaged to conduct them. The evaluators selected should be involved early in the implementation process, so that any baseline data can be collected and the evaluation timeline and type can be best matched to the plan. While evaluations are usually finalized following the completion of a response intervention, it may be useful to plan for completion months or years later, so as to determine whether the impact and outcomes were sustainable.

Evaluations can involve quantitative or qualitative research methodology or use a combination of the two. In all cases, evaluations should be rigorous and compare baseline to mid- and/or end-line data to determine the impact and outcomes of the intervention. Evaluations should also note any unintended outcomes and impact, both positive and negative.

Evaluations are important tools for accountability and transparency; they can also help promote learning and continual improvement. As such, their findings should be free from bias, involve no conflict of interest and, where possible, be made publicly available to promote accountability and shared learning.

## Learning

In order continually to improve the implementation of current and future interventions, lessons should be documented and shared. Governments, donors, United Nations agencies, NGOs and other stakeholders may have their own approaches to learning, but in all cases there should be systems to document and disseminate lessons, so as to support collective learning on what works when it comes to the protection and assistance of migrants vulnerable to violence, exploitation and abuse.

Lessons can be collated throughout the response, at pre-set intervals or on completion of an intervention. Learning exercises are most effective if they include all stakeholders, particularly the intended beneficiary population, and have the greatest impact if the findings are widely disseminated and made available to the public.

Academic institutions or external parties may be engaged in the learning process to ensure that it is independent, impartial and bias-free. Lessons are often captured in reports or on customized platforms that have been designed for such purposes, or published in academic peer-reviewed journals and in “grey literature”, which can take various forms and is more widely available than academic literature. The best practice is to ensure that lessons are captured and communicated in various forms to suit the needs and preferences of various target groups.





