



# Migration Multi-Partner Trust Fund

**START-UP FUND FOR SAFE, ORDERLY  
AND REGULAR MIGRATION**

Operations Manual

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*Revision 2: December 2020*

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## 1. OVERVIEW OF THE MIGRATION MPTF

### 1.1 Rationale of the Fund

The establishment of the “Start-up Fund for Safe, Orderly and Regular Migration” (hereinafter “Migration MPTF” or “the Fund”) was called for by Member States through the adoption of the Global Compact for Safe, Orderly and Regular Migration (GCM) and is a key component of the GCM Capacity Building Mechanism. It is established as a United Nations pooled fund by the United Nations Network on Migration (Network), a collaborative community of United Nations entities with a focus on migration, under the strategic guidance and direction of an Executive Committee and with IOM serving as Coordinator and Secretariat.

The recognition in the GCM of the need for the Fund is an acknowledgement that as the first ever global United Nations cooperative framework on international migration, it would benefit from support by a financing mechanism to assist Member States in the way that best meets their own national objectives, while upholding international law. In situating this call in a resolution of the General Assembly, Member States recognize both the importance of this Migration MPTF and afford it the strongest possible foundations.

The Migration MPTF will contribute to ensuring robust, coordinated, inclusive and coherent United Nations system-wide support to Member States in their implementation, follow-up and review of the GCM, while avoiding fragmentation in delivering on the GCM’s 23 objectives. It is fully aligned with the guiding principles of the GCM.

The Migration MPTF is both an initial and complementary source of support, open to a multitude of partners to provide contributions. The Fund seeks synergies and will collaborate with bilateral funding instruments, as well as other pooled funding mechanisms to help realize the intrinsic link between the GCM and the realization of all seventeen SDGs and particularly with respect to target 10.7 which calls on States to “facilitate orderly, safe, and responsible migration and mobility of people, including through implementation of planned and well-managed migration policies”. Heeding the call of the GCM to be implemented at local, national, regional and global levels, the Migration MPTF supports initiatives in all tiers of GCM implementation.

The Migration MPTF will foster joint programming in order to strengthen the coherence and increase the impact of UN-system programming, reduce fragmentation and fill critical gaps. The governance mechanism allows all partners to collectively agree on strategies and priorities.

## 1.2 Programmatic scope

The Migration MPTF clusters the 23 objectives of the GCM under five thematic areas to facilitate adherence to the GCM's 360-degree approach. The thematic areas and corresponding GCM objectives are as follows:

### **Thematic Area 1: Promoting fact-based and data-driven migration discourse, policy and planning**

- Objective 1: Collect and utilize accurate and disaggregated data as a basis for evidence-based policies
- Objective 3: Provide adequate and timely information at all stages of migration
- Objective 17: Eliminate all forms of discrimination and promote evidence-based public discourse to shape perceptions of migration
- Objective 23: Strengthen international cooperation and global partnerships for safe, orderly and regular migration

### **Thematic Area 2: Protecting the human rights, safety and wellbeing of migrants, including through addressing drivers and mitigating situations of vulnerability in migration**

- Objective 2: Minimize the adverse drivers and structural factors that compel people to leave their country of origin
- Objective 7: Address and reduce vulnerabilities in migration
- Objective 8: Save lives and establish coordinated international efforts on missing migrants
- Objective 12: Strengthen certainty and predictability in migration procedures for appropriate screening, assessment and referral
- Objective 13: Use migration detention only as a measure of last resort and work towards alternatives
- Objective 23: Strengthen international cooperation and global partnerships for safe, orderly and regular migration

### **Thematic Area 3: Addressing irregular migration including through managing borders and combatting transnational crime**

- Objective 9: Strengthen the transnational response to smuggling of migrants
- Objective 10: Prevent, combat and eradicate trafficking in persons in the context of international migration
- Objective 11: Manage borders in an integrated, secure and coordinated manner
- Objective 14: Enhance consular protection, assistance and cooperation throughout the migration cycle
- Objective 21: Cooperate in facilitating safe and dignified return and readmission, as well as sustainable reintegration
- Objective 23: Strengthen international cooperation and global partnerships for safe, orderly and regular migration

#### **Thematic Area 4: Facilitating regular migration, decent work and enhancing the positive development effects of human mobility**

- Objective 5: Enhance availability and flexibility of pathways for regular migration
- Objective 6: Facilitate fair and ethical recruitment and safeguard conditions that ensure decent work
- Objective 18: Invest in skills development and facilitate mutual recognition of skills, qualifications and competences
- Objective 19: Create conditions for migrants and diasporas to fully contribute to sustainable development in all countries
- Objective 20: Promote faster, safer and cheaper transfer of remittances and foster financial inclusion of migrants
- Objective 23: Strengthen international cooperation and global partnerships for safe, orderly and regular migration

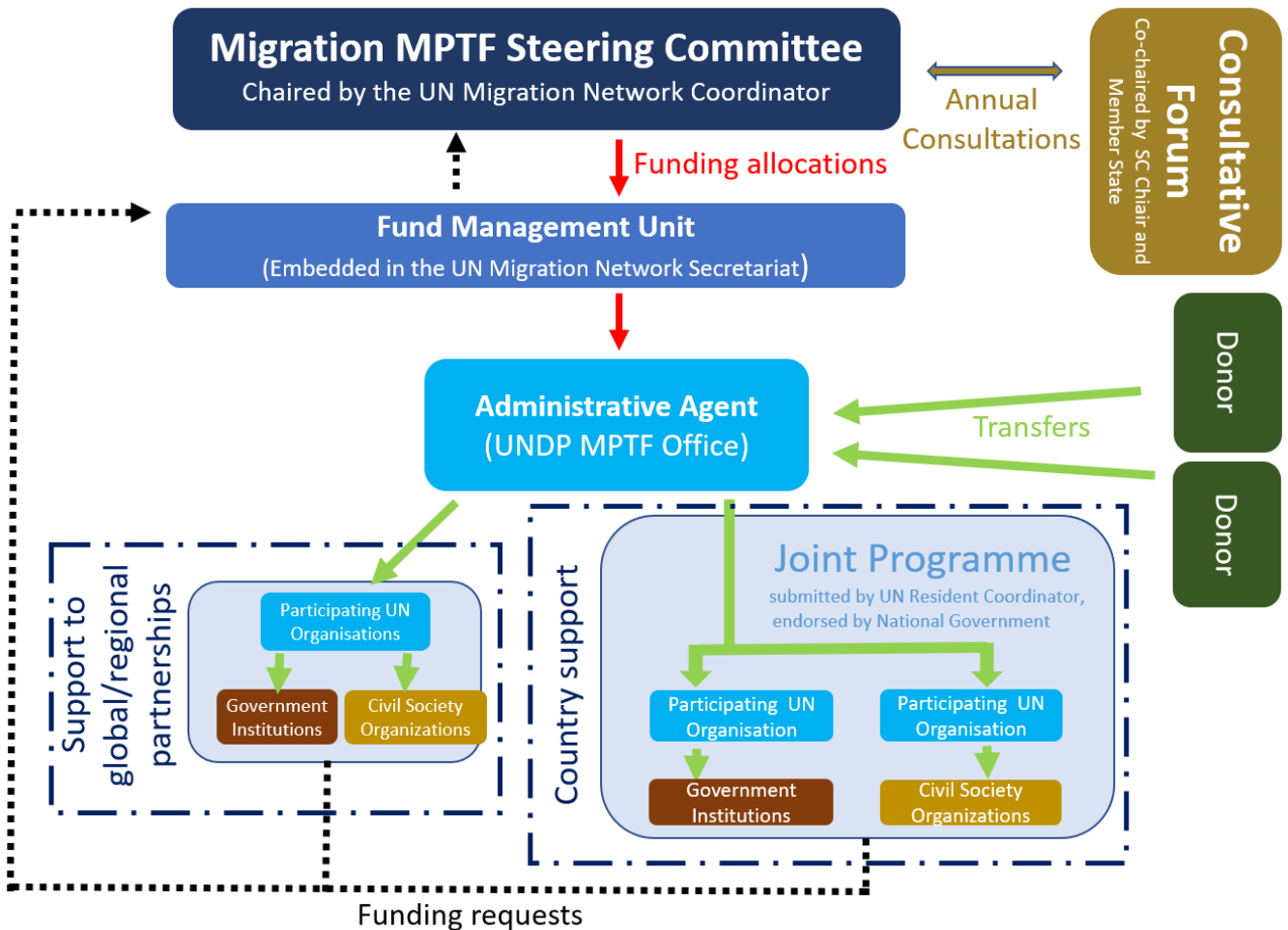
#### **Thematic Area 5: Improving the social inclusion and integration of migrants**

- Objective 4: Ensure that all migrants have proof of legal identity and adequate documentation
- Objective 16: Empower migrants and societies to realize full inclusion and social cohesion
- Objective 15: Provide access to basic services for migrants
- Objective 22: Establish mechanisms for the portability of social security entitlements and earned benefits
- Objective 23: Strengthen international cooperation and global partnerships for safe, orderly and regular migration

In addition, the Migration MPTF will provide support to the GCM follow-up and review processes outlined under articles 48, 49 and 50 of the General Assembly resolution 73/195. This support will be provided through a separate funding window specifically dedicated to this purpose (the “GCM Follow Up and Review Window”). The activities undertaken through the GCM Follow Up and Review Window will focus primarily on supporting the travel and participation of representatives from developing countries, in particular the least developed countries, and relevant stakeholders as well as the activities related to the preparations of the regional reviews and the International Migration Review Forum.

## 2. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The chart below provides an overview of the governance structure of the Migration MPTF (as described in the narrative section on the Steering Committee, the governance structure will be slightly different for the GCM Follow Up and Review Window).



## 2.1 Steering Committee

The Steering Committee is the guiding, decision-making and supervisory body for Fund activities. It shall set strategic guidelines, approve joint programme proposals, and monitor the Fund's overall performance.

### COMPOSITION

The Steering Committee, chaired by the Director General of IOM in his/her capacity as the UN Network on Migration Coordinator, comprises the following twelve members:

- Three members of the Network;
- Three donors;
- Three countries of origin, transit and destination; and,
- Three stakeholders.<sup>1</sup>

The Steering Committee members will be appointed by the Chair for a two year period and will rotate on a staggered basis: half the members rotating one year (two Network members, one donor, two countries of origin, transit and destination and one stakeholder) and the other half the following year (one Network member, two donors, one country of origin, transit and destination and two stakeholders). For the original members appointed in late 2019, the first six members will rotate at the end of June 2021 and the following six at the end of June 2022. Thereafter the members will rotate after serving for two years (i.e. every June there will be a rotation of half of the Steering Committee).

The Administrative Agent is an ex-officio member of the Steering Committee in an observer capacity. The Fund Management Unit (FMU) is also an ex-officio member and serves as secretary of the Steering Committee in the capacity of rapporteur.

A Technical Group, composed of technical experts drawn from each Steering Committee member, will support the high-level members of the Steering Committee in carrying their responsibilities.

### RESPONSIBILITIES

Individually, Steering Committee members have the responsibility to dedicate sufficient time and resources to enable the efficient functioning of the committee. Members need to come prepared to make decisions. They are expected to adopt constructive positions in the Steering Committee deliberations, guided by the principle of partnership of the GCM. Steering Committee members are expected to advocate in favour of the Fund whenever appropriate and actively support the resource mobilization efforts.

In order to fulfil its mandate successfully, the Steering Committee shall have the following specific duties:

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<sup>1</sup> Stakeholders are understood as those listed in the Global Compact for Safe, Orderly and Regular Migration Resolution (A/RES/73/195) paragraph 15 (j), under the *Whole of Society approach*: “The Global Compact promotes broad multi-stakeholder partnerships to address migration in all its dimensions by including migrants, diasporas, local communities, civil society, academia, the private sector, parliamentarians, trade unions, national human rights institutions, the media and other relevant stakeholders in migration governance.”



- Provide general oversight and exercise overall accountability of the Fund.
- Provide policy and strategic guidance.
- Approve the strategic direction of the Fund and provide strategic guidance.
- Approve revisions of the Terms of Reference (TOR) of the Fund when deemed necessary.
  - *Any revision of the Terms of Reference shall be of a substantive nature and shall only be carried out on the basis of a decision of the Steering Committee. The Fund Management Unit will be responsible for carrying out the review, in consultation with relevant stakeholders, which will then be submitted to the Steering Committee for validation.*
- Approve the Fund's Operations Manual and update it as necessary (e.g. to incorporate lessons learned or adapt it to operational requirements).
  - *The Steering Committee will review and validate the Fund's Operations Manual. If there is a need to incorporate a substantive change (i.e. change in the scope of the Fund, new implementing entities, etc.), it will request the Fund Management Unit to advise on the revision of the Operations Manual. When the Steering Committee is called upon to decide on a procedural aspect not contemplated in the manual, such a decision will be taken as a precedent and the Operations Manual will be amended accordingly. Non-substantive changes of the Operations Manual will be incorporated by the Fund Management Unit and the Steering Committee will be informed accordingly.*
- Review the status and implementation of the Fund, assess performance based on the results framework and oversee progress.
- Approve the Fund risk management strategy and periodically review risk monitoring.
- Review concept notes after being screened by the Fund Management Unit, ensuring their conformity with the requirements of the Migration MPTF, and decide on their inclusion in the Migration MPTF pipeline of joint programmes.
- Adopt and revise on an annual basis the investment plan of the Fund
- Request the submission of joint programme proposals (from concept notes included in the Fund pipeline of joint programmes)
- Review and approve joint programme documents after screening by the Fund Management Unit to ensure that they meet the requirements of the Migration MPTF, are consistent with the concept notes submitted for inclusion in the pipeline of joint programmes and are aligned with the strategic objectives of the Migration MPTF.
- Instruct the Administrative Agent to transfer the Fund resources to the Participating UN Organizations (hereinafter 'PUNO' for singular, and 'PUNOs' for plural).
- Approve direct costs related to the Fund operations support by the Fund Management Unit, including the staff costs.
  - *The Fund Management Unit shall prepare and submit to the Steering Committee for approval, in the form of project document, the proposed direct costs to the Fund. The organigram and its related budget will be annually reviewed and adjusted by the Steering Committee as per needs and budget availability.*
- Review annual/final progress reports (programmatic and financial) consolidated by the Fund Management Unit and the Administrative Agent, based on the progress reports submitted by the PUNOs.
- Request, as necessary, the Fund Management Unit to commission independent evaluations, reviews and "lessons learned" reports on the performance of the Fund.
- Decide on Fund extensions.
  - *Based on consultations with relevant partners, the Fund Management Unit will prepare a proposal for the Fund extension and will submit to the Steering Committee for a final decision.*
- Guide the formulation and implementation of the resource mobilization strategy.

## MEETINGS

The Fund Management Unit, on instruction from the Chair, will convene the meetings of the Steering Committee by sending a communication to the members and ex-officio members of the committee at least 20 working days before the date of the meeting or, in the event of an unanticipated meeting, as soon as practical. The agenda, supporting documents and minutes of the previous meeting will be sent at least ten working days before the meeting (or in the case of an unanticipated meeting, as soon as practical).

Extensive preparations with the Technical Group will be coordinated by the FMU upon submission of the supporting documents ahead of the meetings. No later than 7 working days prior to a planned Steering Committee meeting, and possibly earlier, the FMU will convene a meeting of the Technical Group to prepare the Steering Committee discussion and, to the extent possible, agree on a joint technical suggestion on the various agenda items. If necessary, additional preparatory meetings may be convened.

The Steering Committee will meet at least twice a year in person. Additional meetings may be called by the Chair if necessary, in particular in the set-up phase of the Fund.

In order to avoid unnecessary delays due to the low frequency of meetings, some decisions can be taken by circulation of documents accompanied by detailed explanations. This will in particular be possible for the approval of a joint programme proposal (and the subsequent allocation decision) provided that the concept note was reviewed and discussed by the committee prior to inclusion in the pipeline of joint programmes.

Summary of the meeting providing a record of all decisions taken by the Steering Committee will be circulated within 10 working days after the meeting.

## QUORUM AND DECISION

The Migration MPTF Steering Committee embodies the global partnership in support of the GCM. In its deliberations, it will strive to uphold this spirit of cooperation. At all times, the Steering Committee members are expected to take a collaborative and constructive approach and make compromises necessary to adopt decisions agreeable by all.

Evidence gathered from years of experience managing UNDG Multi-Partner Trust Funds in various contexts and dealing with a wide range of issues show that an overwhelming majority of decisions have been taken by consensus amongst the members of the governing bodies of the funds.

Guided by the partnership spirit and the positive lessons learned from managing UN pooled funds, the decisions of the Migration MPTF Steering Committee are made by consensus and can only be taken when a quorum of the Chair and seven members amongst which at least one representative of each category of members is present. In case the Steering Committee cannot physically meet, the decisions will be taken virtually, through email, and the same norms of consensus and quorum will apply. The Fund Management Unit will coordinate the communications with the Steering Committee members making all reasonable efforts to share information and obtain feedback.

Should the absence of consensus result in a deadlock where critical decisions cannot be taken, a decision can exceptionally be taken by the Chair supported by a majority of at least two third of the Members (rule on quorum applies). In such an event, the disagreement of individual members will be explicitly noted in the minutes of the Steering Committee and the decision-making process will be duly reviewed as part of ongoing evaluations of the Fund.

## SPECIFIC ARRANGEMENTS FOR GCM FOLLOW UP AND REVIEW WINDOW

For the GCM Follow Up and Review Window, the Migration MPTF Steering Committee's function will be of an advisory nature. Oversight and accountability as well as allocation decisions under this specific funding window rests with the Chair of the Steering Committee. At each Steering Committee, the Chair will provide Steering Committee members with an update on any decision taken regarding the GCM Follow Up and Review Window and will offer all members the opportunity to make recommendations.

## 2.2 Consultative Forum

From 2020 onwards, a Consultative Forum will be annually convened, bringing together the Executive Committee of the Network and its broader membership together with Member States and stakeholders, to discuss the Migration MPTF, its current operations and future direction.

With the support of the Fund Management Unit, the Chair of the Steering Committee will provide an update on the status of the Fund, adoption or revision of the investment plan, allocation decisions taken during the course of the year, key achievements and main challenges faced.

Key concerns/recommendations/suggestions expressed by Member States and stakeholders during the Consultative Forum will be brought to the attention of the Steering Committee by the Chair of the Steering Committee with the support of the Fund Management Unit during the following meeting of the Steering Committee.

## 2.3 Fund Management Unit

The Fund Management Unit is the entity responsible for the operational functioning of the Migration MPTF and for providing management support to the Steering Committee. It draws upon the technical expertise and capacities of other components of the Network, through the Secretariat, as appropriate. The Fund Management Unit serves as the point of liaison with the Administrative Agent.

### RESPONSIBILITIES

In order to successfully support the Steering Committee, the Fund Management Unit, reporting directly to the Chair, shall have the following specific duties:

- Coordinate and execute all management functions of the Migration MPTF, including the implementation of decisions made by the Steering Committee.
- Plan and prepare meetings of the Steering Committee and maintain records of decisions taken.
- Convene and facilitate preparatory meetings of the Technical Group ahead of the Steering Committee meetings.
- Organize calls for proposals and/or liaise with United Nations Country Teams to provide guidance on the submission of joint programme proposals in support of the implementation of the GCM.
- Draw on Network support, through the Network Secretariat, to review, analyse and vet concept notes and joint programme proposals received from PUNOs based on criteria set by the Steering Committee and outlined in the Operations Manual (sections 4.2 and 4.7).

- In liaison with the secretariat of the UN Network on Migration, submit project documents to and advise the Chair of the Steering Committee on funding allocations under the GCM Follow Up and Review Window;
- Share with the Steering Committee information on all concept notes and joint programme proposals received and, where applicable, provide explanations as to why some joint programme proposals were rejected at the concept note stage before submission to the Steering Committee.
- With the support of the Administrative Agent, develop an Operations Manual, in accordance with signed legal agreements, and ensure compliance with it.
- Periodically review the Terms of Reference of the Fund and its Operations Manual and, where appropriate, recommend changes or revisions for the consideration of the Steering Committee.
- Develop and implement the Fund resource mobilization strategy under the guidance of the Steering Committee.
- Coordinate the development the Fund risk-management strategy and monitor risks accordingly.
- Submit Fund Transfer Requests, signed by the Chair of the Steering Committee, to the Administrative Agent.
- Support monitoring and evaluation of joint programme implementation.
- Consolidate the narrative of annual and final reports submitted by PUNOs and present reports to the Administrative Agent for consolidation of narrative and financial reports.
- Manage and support communication, public information and visibility as regards the Fund and its activities.
- Liaise with the Administrative Agent on Fund administration issues, including issues related to joint programme/fund extension and joint programme/fund closure.
- Support coordination efforts with relevant global, regional or national initiatives to foster synergies and avoid overlap or duplication.
- Provide regular updates to the Executive Committee of the Network on the use of the Fund.
- With the support of the Executive Committee of the Network, elaborates and subsequently propose revisions (if necessary) of the Fund's results-matrix.
- Ensures that data is adequately gathered to monitor the indicators of the Fund's results-matrix and presents regular results-matrix updates to the Steering Committee.

## COMPOSITION AND COST

Embedded within the UN Network on Migration Secretariat, the Fund Management Unit is housed at IOM's Headquarters in Geneva.

During the start-up phase of the Fund (2019-2021), the core cost of the Fund Management Unit is covered by IOM as a de facto contribution to the Fund. While this arrangement is in place, the Steering Committee may decide to charge some additional costs (additional staffing or operational costs) to the Fund as direct costs. Upon the end of this temporary arrangement, the operating costs of the full Fund Management Unit will be charged to the Fund as direct costs.

When charged as a direct cost to the Fund, the Fund Management Unit staffing structure will be adjusted by the Steering Committee as per needs and budget availability. In order to limit the cost of the Fund Management Unit and to maximize the synergies between the work of the Migration MPTF and the UN Network for Migration, the Fund Management Unit will benefit from the technical support of the Network Secretariat and, through it, from the expertise of other components of the Network. To further reinforce the Fund Management Unit without excessively drawing on resources, secondments from PUNOs or direct staffing support from Member States (such as JPOs) are encouraged, maintaining a premium on qualifications, experience and geographical and gender balance of staffing.

## 2.4 Administrative Agent

The Migration MPTF will use the pass-through funding modality, where donors and PUNOs agree to channel funding through one UN organization, referred to as the Administrative Agent. The Agent is the appointed interface between the PUNOs and the donors for administrative matters.

The UNDP MPTF Office has been appointed by the Migration MPTF PUNOs to act as the Administrative Agent for the Fund. The MPTF Office performs the Administrative Agent functions in accordance with the UNDG 'Protocol on the Administrative Agent for Multi Donor Trust Funds, Joint Programmes and One UN Funds'.<sup>2</sup>

### RESPONSIBILITIES

- The Fund's Administrative Agent services include support to the design of the Migration MPTF (Terms of Reference, Operations Manual), development of legal instruments and administration of the Fund. In administering the Fund, the Administrative Agent is responsible for the following functions:
  - Signing a Memorandum of Understanding (MOU) with PUNOs.
  - Signing Standard Administrative Agreements (SAA) with donors.
  - Receiving contributions from donors and administering funds in accordance with regulations, rules, policies and procedures of the United Nation Development Programme, as well as the MOU, TOR and SAA, including provisions relating to closure of the Fund account.
  - Investing and reinvesting the Fund's resources according to investment policies, practices and procedures. Any investment income will be added to the Fund's resources and will not be credited to the contributions of a particular donor.
  - Providing updated information to the Steering Committee regarding the regular resource availability; -
  - Transferring funds to PUNOs in accordance with Steering Committee decisions.
  - Consolidating the annual or final narrative report submitted by the Fund Management Unit with the annual or final financial reports submitted by the PUNOs and presenting the consolidated report to the Steering Committee as well as to each of the Migration MPTF's contributors.
  - Preparing the Fund's final financial report including its closure notice.
  - Releasing funds as direct costs for the running of the Fund Management Unit, based on Steering Committee's decisions. The Administrative Agent will annually notify the Steering Committee about the amounts used to that end.
  - Releasing funds for additional expenses that the Steering Committee may decide to allocate.
  - Providing tools for fund management to ensure transparency and accountability.

The MPTFO through its GATEWAY (<http://mptf.undp.org/>) offers a web-based service portal, which provides real-time financial data generated directly from its accounting system. It provides all partners and the general public with the ability to track information on contributions, transfers and expenditures.

### COSTS

The costs of the Administrative Agent's functions comprise 1% of the contributions received and are charged when the contribution is received. The Administrative Agent shall be entitled to charge the Fund a direct cost charge to

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<sup>2</sup> See: <https://unsdg.un.org/resources/protocol-administrative-agent-multi-donor-trust-funds>

cover the cost of continuing to perform the duties of Administrative Agent, provided that the Fund is extended beyond the date of termination and no more contributions are received.

## 2.5 Recipient organizations/institutions

### PARTICIPATING UN ORGANIZATIONS (PUNOs)

Resources will be allocated to PUNOs, i.e. members of the United Nations Network on Migration that have signed the Memorandum of Understanding with the Administrative Agent. Each PUNO will assume full programmatic and financial accountability for the funds disbursed to it by the Administrative Agent. Such funds will be administered by each PUNO in accordance with its own regulations, rules, directives and procedures. The indirect costs of the PUNOs recovered through programme support costs will be harmonized at seven percent (7%).

For each joint programme funded by the Migration MPTF, the PUNO will have identified amongst themselves a “**convening UN organization**”. This organization will have the additional responsibility to ensure the overall coordination of the joint programme and prepare the consolidated narrative report on the programme (consolidation of the financial report will be done by the Administrative Agent). Additional costs related to performing the convening UN organization functions can be included in the Joint Programme budget.

### GOVERNMENT AND STAKEHOLDERS

Government institutions and stakeholders can receive funding from the Migration MPTF through PUNOs. The Fund requires that all proposals have the endorsement of the relevant national government. The Fund strongly encourages the participation of government institutions, including at the local level, and stakeholders both at the design and implementation phases of proposed joint programmes seeking Migration MPTF support. The extent to which consultation with partners has taken place in the design phase as well as the expected level of partners’ involvement in programme implementation will be important factors in assessing the viability of the proposed joint programme under the Fund.

Each PUNO will transfer funds to partners in line with its own financial regulations and rules and will retain full financial and programmatic accountability vis-à-vis the Fund and its contributors.

Should a mechanism allowing for direct transfer by the Administrative Agent to non-United Nations entities be adopted by the United Nations Sustainable Development Group and the donors to United Nations pooled funding instruments, the Administrative Agent would bring without delay such development to the attention of the Migration MPTF Steering Committee so as to integrate the new mechanism in the design of the Fund and define under which conditions direct access to non-United Nations entities could be granted.

### 3. ADMINISTRATION OF THE FUND

#### 3.1 Contributions

With support from the Fund Management Unit, the Steering Committee establishes a resource mobilization strategy (agreeing on annual funding targets and identifying main potential donors). The first such strategy will be approved during the course of 2020. It will be subsequently updated/revised on an annual basis.

In line with the resource mobilization strategy and, whenever applicable, following up on initial contacts made by Steering Committee members (or other supportive stakeholders), the Fund Management Unit liaises with potential contributing partners to promote the Migration MPTF and finalize negotiations on financial contributions. The Fund Management Unit subsequently introduces the contributor to the Administrative Agent to finalize the contribution through a Standard Administrative Arrangement. If the contributor has special conditions, they will be discussed with the Fund Management Unit and Administrative Agent.

Contributions to the Migration MPTF may be accepted from PUNOs, Governments of Member States of the United Nations or from inter-governmental or non-governmental organizations, and/or from private sources and philanthropic foundations. Acceptance of funds from the private sector will be guided by criteria stipulated in the UN system-wide guidelines on cooperation between the UN and the Business Community. Contributions from the private sector are subject to a due diligence process, coordinated by the Administrative Agent, and will only be accepted if deemed within acceptable risk. On an ad-hoc basis, the Administrative Agent and Fund Management Unit may submit the conclusions of the due diligence process to the Steering Committee for their concurrence to accept the contribution.

In support of the overarching aim of the Migration MPTF, and in order to ensure maximum flexibility and adaptation to priorities, donors to the Fund are encouraged to contribute with multi-year pooled/un-earmarked resources. However, if this is not possible, earmarking at the thematic area level will be accepted.

Donors can also earmark contributions towards the GCM Follow Up and Review Window. Unearmarked contributions will be used exclusively to finance programmes under one of the five thematic areas or direct costs linked to Fund operations. Only contributions explicitly earmarked towards the GCM Follow Up and Review Window will be programmed for activities related to the GCM follow-up and review processes by the Chair of the Steering Committee.

Contributions to the Migration MPTF will be accepted in fully convertible currency. Such contributions shall be deposited in the bank accounts designated by the Administrative Agent. The value of a contribution-payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. The Administrative Agent will be entitled to allocate an administrative fee of one percent (1%) of the amount contributed by each donor, to meet the costs of performing the Administrative Agent's standard functions as described in the Memorandum of Understanding and the Standard Administrative Arrangement.

## 3.2 Investment plan

On an annual basis (from the end of 2020 onwards), the Steering Committee will adopt an investment plan. The investment plan is a short document that will complement the pipeline of joint programmes. In a concise manner, it will provide the following information:

- Resource Mobilization target for the following year (and subsequent years to be updated/revised annually based on results achieved and priorities identified);
- Indicative desired allocation of resources broken down by thematic areas (taking into account the Fund commitment to the 360-degree approach, prior year allocations, needs identified, donor earmarking, etc.); and,
- Indicative geographic priorities.

## 3.3 Financial thresholds

As underlined by the UNDG Guidance Note on both Joint Programmes and Multi-Donor Trust Funds,<sup>3</sup> thresholds are an important internal control mechanism that helps stakeholders to “collectively manage risks, whether political/strategic, programmatic or financial, in their common programming”. Financial thresholds for budgets are also an important tool to remind all Migration MPTF stakeholders that the Fund is not a small grant mechanism.

- In order to ensure efficiency, the minimum total budget of any joint programme to be funded shall equal at least USD 500,000 times the number of PUNOs, with each PUNO expected to receive at least USD 100,000. (For instance, if three organizations participate, the budget of the joint programme needs to be at least USD 1.5 million, while one organization can receive as little as USD 100,000, if the other two receive a combined total of at least USD 1.4 million).
- Similarly, in line with the MPTF Office policy on reducing transaction costs, no transfer from the Administrative Agent to any PUNO during the course of a joint programme shall be of a value below USD 100,000.

It is to be noted that the threshold mentioned above (minimum budget and minimum transfer amount) apply to PUNOs only. The Migration MPTF does not impose rules on PUNOs regarding their collaboration with implementing partners. The relationship with implementing partners will be strictly governed by the relevant policy, rules and regulations of each PUNO.

It is also to be noted that exceptions to the thresholds mentioned above can be made for the GCM Follow Up and Review Window to allow for the maximum flexibility in providing support mostly of a logistical nature to Member States.

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<sup>3</sup> See: <https://undsg.un.org/resources/undg-guidance-note-joint-programmes>



### 3.4 The Migration MPTF as a “feeder fund”

Consistent with its objective of supporting the UN reform agenda and strengthening UN coherence, the Migration MPTF will endeavour to avoid creating parallel funding streams in countries where the UN Country Team has established a joint funding mechanism. Whenever possible, the Migration MPTF will therefore make use of and reinforce country-level inter-agency pooled funds, where support to the implementation of the GCM is well integrated in the national development priorities and the UN Sustainable Development Framework.

The reasons for the Migration MPTF to act as a ‘feeder fund’ to a country or regional trust fund which deals with migration related priorities include but are not limited to:

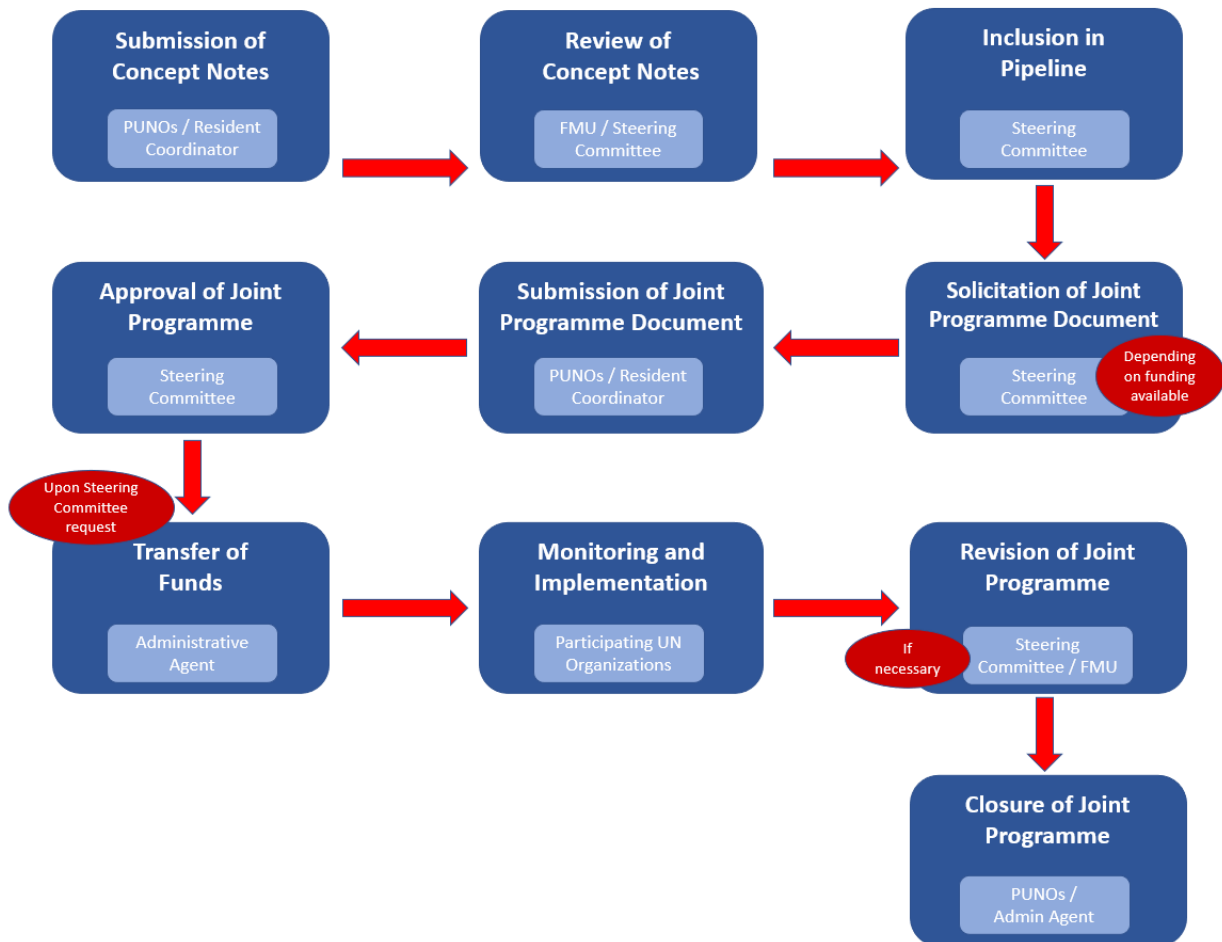
- Playing a catalytic role to leverage other funds in support of GCM implementation, as the
- Migration MPTF may be among the first donors contributing to the Trust Fund;
- Funding a particularly innovative component of a Trust Fund strategy;
- Further strengthening coordination and coherence in implementing the GCM.

In such cases, upon approval of the “feeder fund approach” by the Steering Committee, the Migration MPTF will enter into a funding agreement with the relevant Trust Fund, which then becomes the Migration MPTF direct funding recipient. Such agreements imply that both Funds’ allocation, disbursement and reporting processes will be aligned, and to do so, a short guidance note will be developed on a case-by-case basis. The note will outline/describe the specific requirements along the joint programme life cycle processes. Furthermore, on a case-by-case basis, the Migration MPTF Fund Management Unit may require that it be a member of the other Trust Fund’s Steering Committee.

The Migration MPTF will enter into such agreements only upon the condition that no additional administrative agent or other indirect cost will be charged to its contribution. The cost structure of the Migration MPTF shall not be affected.

## 4. PROGRAMMING CYCLE

This section outlines the programming cycle of the Migration MPTF from the submission of initial concept notes to the final reporting and closure (as summarized in the graph below).



## 4.1 Submission of concept notes

Concept notes will be prepared using the template provided in Annex C.

Concept notes will be considered on a rolling basis and can therefore be submitted at any point of time. However, in order to allow sufficient time for the review process, concept notes will need to be submitted at least six weeks prior to a Steering Committee meeting in order to be taken into consideration at said meeting. Concept notes submitted closer to the meeting date will still be accepted and reviewed but may be presented to the Steering Committee at its subsequent meeting if the review process could not be completed on time.

The Migration MPTF Steering Committee may identify a number of priority/pilot countries and invite the submission of concept notes. However, the Migration MPTF will also accept and consider unsolicited submissions.

In countries with a UN Resident Coordinator, concept notes will be submitted by the Resident Coordinator (or Resident Coordinators, in case of cross-border, multi-country or sub-regional initiatives) to ensure effective strengthening of the coherence of the UN system. When this is not applicable (countries without Resident Coordinator or initiatives of a global/regional nature), concept notes submitted directly and jointly by at least two PUNOs will be accepted.

In cases of regional initiatives, while the requirement to have signatures of all Resident Coordinators is waived, it is encouraged to include a strong justification for the framework and how it remains the expression of a national priority by the various states of the region/sub-region. If an initiative is aligned to a Regional Economic Commission or similar regional entity, such entity will also be encouraged to include information on the proposal's alignment to its own strategic priorities.

To be eligible, concept notes will need to meet the following criteria:

- Proposed joint programmes need to involve two or more PUNOs.
- Proposed joint programmes need to be supported by the national government.
- Proposed joint programme duration must not exceed three years.
- Proposed budget needs to meet the thresholds described above (section 3.2).
- Proposed joint programmes must be clearly linked to one thematic area of the Migration MPTF<sup>4</sup>, to the specific GCM objective(s) under the thematic area selected and to relevant SDG targets.
- Proposed joint programmes should include a variety of implementing partners.
- Proposed joint programmes need to result from a broad consultative process and a thorough mapping of existing initiatives related to the objective.
- Proposed joint programmes must be fully aligned with the Guiding Principles of the GCM.
- Proposed joint programmes will need to clearly define the convening UN organization in charge of supporting the project coordination.
- Concept notes will need to be submitted using the Migration MPTF concept note template.

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<sup>4</sup> Please note that for purposes of tracking alignment to the GCM 360-degree approach and contribution earmarking, all joint programmes shall primarily relate to only one of the five Migration MPTF thematic areas. This “primary thematic area” must be clearly identified on the cover page of the concept note (as required by the concept note template itself). However, any joint programme can contribute to some GCM objectives outside the primary area and therefore have a positive “secondary” impact on other thematic areas. These positive effects should be spelled out in the narrative part of the concept note (in particular under sections 2 and 3 on expected results and theory of change).

Although this will not constitute an absolute ceiling, as exceptions will be considered, participation of more than five PUNOs to a joint programme will be strongly discouraged. This recommendation is based on joint programming lessons learned and is fully aligned with current UNDG guidance on the matter.

While it cannot be translated into a clear cut eligibility criteria as the breadth or partnership and nature of partners may vary depending on the implementation context and the nature of the joint programme itself, it is important to note that joint programmes should include a variety of implementing partners.

## 4.2 Review of concept notes

The Fund Management Unit will review the concept notes submitted in order to (1) ensure that they meet the basic eligibility criteria listed above; and (2) assess their relevance to the Fund with a specific focus on the following aspects:

- Adherence to the following key principles:
  - people-centred
  - human rights dimension
  - gender-responsive
  - child-sensitive
- Quality of the consultative process leading to the joint programme design and complementarity with existing initiatives/programmes
- Strength and breadth of the partnerships envisaged in implementation of the joint programme (whole-of-government and whole-of-society approach)
- Innovative value of the initiative
- Sustainability of results

To ensure the full transparency of the process, the Fund Management Unit will prepare a short summary (one page) of its assessment that it will share with the Steering Committee, together with the concept note. The Fund Management Unit will also inform the Steering Committee of all concept notes that have been assessed as ineligible and provide explanations as to why they were rejected.

## 4.3 Constitution and updating of pipeline of joint programmes

After reviewing the concept notes and the assessment summary provided by the Fund Management Unit, the Steering Committee will decide whether the concept notes should potentially be funded by the Migration MPTF. All concept notes approved by the Steering Committee will be included in a pipeline of joint programmes which will include all approved concept notes under each of the five thematic areas of the Fund. The pipeline document will be publicly available and posted on the relevant website (MPTFO Gateway, <http://mptf.undp.org/factsheet/fund/MIG00> and the Migration MPTF section of the UN Network on Migration website <https://migrationnetwork.un.org/trustfund> ).

The pipeline of joint programmes will be updated on an annual basis by the Fund Management Unit. The Steering Committee will be given the opportunity to withdraw a joint programme from the pipeline if it feels that it no longer matches the priority of the Fund.

On an annual basis, for all joint programmes in the pipeline, the Fund Management Unit will contact the relevant Resident Coordinator to confirm that:

- The project idea continues to be relevant;
- The host government continues to be committed to the project;
- The project continues to be aligned to the UNSDCF (if applicable); and,
- There are no recent events/developments that may impact on the theory of change.

If the Steering Committee decides to withdraw a joint programme from the pipeline, the PUNOs will be informed through an official communication from the Chair of the Steering Committee to the Resident Coordinator.

#### 4.4 Solicitation of joint programme document

On the basis of funding available and identified priorities (as outlined in the investment plan), the Steering Committee will solicit the submission of fully developed joint programme document(s) corresponding to one or more of the pipeline joint programmes concept notes.

The solicitation of a joint programme document does not correspond to a firm commitment of resources by the Steering Committee so “availability of funding” should not be interpreted as “funds in the bank” but should on the contrary take into account the expected upcoming income of the Fund (confirmed or likely). While the Steering Committee needs to remain mindful of the work involved in turning a concept note into a joint programme document, unnecessary delays in the programming process will be avoided by being proactive rather than reactive in requesting the submission of joint programme documents.

Following the Steering Committee decision, the Fund Management Unit will contact the relevant Resident Coordinator / Convening UN Organization to inform them about the Steering Committee request. To the extent possible, it will offer support and guidance in the development of the joint programme document and will liaise with the Network focal points of the joint programme PUNOs to ensure that the submission meets the expected quality standard.

#### 4.5 Submission of joint programme document

Within three months of the notification by the Fund Management Unit, the PUNOs –through the Resident Coordinator, whenever applicable - will submit the joint programme document to the Fund Management Unit, using the Migration MPTF template for joint programme documents (Annex D). All joint programme proposals submitted will require the formal endorsement of the Government (the document will include the signature of a senior Government official).

For regional joint programmes, a signature from a senior official of the partner regional entity (e.g. Regional Economic Commission) would be required, in lieu of a signature from a senior Government official.

The joint programme document will provide additional information (detailed budget, results framework, risk management plan, workplan, etc.) but will need to remain closely aligned with the original concept note.

## 4.6 Approval of joint programme

The Fund Management Unit, drawing on Network support through the Network Secretariat, will review the joint programme document to ensure (1) consistency with the concept note approved by the Steering Committee, and (2) quality of the joint programme design, with specific attention to soundness of budget, strength and coherence of the results framework, and risk management strategy.

Should the Fund Management Unit have concerns regarding aspects of the joint programme document, it will liaise with the Convening UN Organization with a view to address these concerns prior to submission to the Steering Committee. Submission of joint programme documents in draft form prior to finalization and signature by officials will be encouraged in order to reduce delays resulting from the review and potential revision process.

Upon finalization of the review process, the Fund Management Unit will submit the joint programme document to the Steering Committee for approval. The decision of the Steering Committee will consist of the following three options:

- (i) approval;
- (ii) approval with recommendations; or
- (iii) non-approval.

For approved joint programmes with recommendations, the submission of a new joint programme document is not required. The Fund Management Unit must ensure that the PUNOs receive and acknowledge such recommendation before requesting the Administrative Agent to proceed with the transfer of funds.

In order to avoid delaying the programming process due to the low frequency of meetings, the decision to approve a joint programme document can be taken by circulation of documents provided that this procedure was agreed upon by the Steering Committee at the time the submission of the joint programme document was requested. Steering Committee members will provide feedback on the documents circulated within ten working days of their submission by the Fund Management Unit. Based on feedback received, the Steering Committee Chair with the support of the Fund Management Unit will propose a decision for endorsement by the Steering Committee. Decisions will be deemed endorsed by the Steering Committee on a non-objection basis within a week of submission.

## 4.7 Transfer and receipt of Funds

Upon approval of a joint programme (and if applicable, acknowledgement of the Steering Committee recommendations by the PUNO), the Fund Management Unit will request disbursement of the authorized amount to the PUNOs, subject to the availability of funds.

For the initial transfer of funds (first tranche), the following documents will be compiled by the Fund Management Unit and submitted to the Administrative Agent:

- Fund Transfer Request Form submitted to the Administrative Agent through their on-line system.
- Approved Joint Programme document duly signed by all PUNOs and endorsed by the Resident Coordinator (when applicable) and a senior official of the national government. The approved Joint Programme Document will include the budget broken down by PUNO, per country if applicable, and in UNDG harmonized budget categories.

- Minutes of the Steering Committee meeting which include the allocation decision (or, in case, the decision was taken through an ad-hoc “circulation process”, a note for the record outlining the process and its outcome).

In order to introduce a performance-based element to the fund allocation, the Migration MPTF will follow a tranche approach to funding for all joint programmes of a duration above 18 months. The budget of those joint programmes will be divided in two tranches (70/30), unless the joint programme is considered high risk in which case the first tranche may be lower or more tranches may be required. It is important to note that only the first tranche is considered fully committed by the Migration MPTF. Subsequent tranches will depend on meeting transfer conditions (listed below) and availability of funds.

Payment of the second tranche (or subsequent tranches) will not require a formal Steering Committee decision (provided that it is fully in line with the budget originally approved). It will follow the submission of a request for release of funds by the Convening UN Organization and it will be subject to the confirmation by the Fund Management Unit that the following criteria have been met:

- The joint programme has committed 75% of the previous tranche(s) (if this is not reflected in the regular financial report, an ad-hoc interim uncertified report may need to be submitted by the PUNOs); and
- The joint programme has satisfied all financial and narrative reporting requirements.

The Administrative Agent will disburse the authorized amounts to the relevant PUNOs within three to five business days after receiving the duly signed Fund Transfer Request form with all the required supporting documentation. The date of the initial transfer of the funds shall then be adopted as the joint programme start date.

The minimum amount of the transfer to a PUNO will be USD 100,000.

## 4.8 Joint programme revision

To be considered, all extension and revision requests must be submitted by the PUNOs no later than 6 months before the operational end date of the joint programme.

Fund procedures include three types of revisions that require the approval by the Steering Committee:

- **Programmatic Revision:** Includes any modification of an expected outcome or intervention area.
- **Budget Revision:** If a revision is made to the joint programme budget to (i) increase the budget costs; (ii) to introduce variations between the different UNDG budget categories by more than 20%; and/or (iii) to change the total budget of any outcome by more than 20%.
- **Extension:** In the event that the no-cost extension needed is longer than three months.

In case an ongoing joint programme requires changes in one or more of the categories described above, the PUNOs must submit a revision request for review by completing the required template (see Annex E) to the Fund Management Unit for processing. The Fund Management Unit will submit the request for approval to the Steering Committee with a recommendation.

For all revisions that (1) do not substantially modify the results framework of the joint programme or its area of intervention, (2) do not extend the duration of the joint programme by more than three months and (3) do not increase the total budget and do not affect the distribution between UNDG budget categories by more than 20%,

the authority to approve the revision is delegated to the Fund Management Unit which will immediately inform the Steering Committee. Once the decision is made, the Fund Management Unit will inform accordingly the PUNOs and the Administrative Agent.

## 4.9 Joint programme closure

Operational closure provides for cost-effective and timely closure and reporting following the end of programmatic activities. Delays in closure result in increased risk, cost accrual, and reduced credibility for the United Nations System as an efficient fund manager.

Joint programmes should complete all activities by the operational end date indicated in the document approved by the Steering Committee. By that date, the joint programmes must have completed all programmatic activities. The PUNOs are encouraged to submit to the Convening UN Organization their inputs for the final narrative reports on the operational closure date, when joint programme personnel have not yet moved on to other assignments. This timing must be taken into account when preparing final narrative reports, and final narrative reports should be submitted to the Fund Management Unit within two months of operational closure of the joint programme.

Upon receipt, final narrative reports will be uploaded to the MPTF Office Gateway to reflect fully closed joint programmes.

To enable the financial closure of the joint programme, each PUNO must provide a certified financial report for its portion of the joint programme to the MPTF Office no later than 30 June of the year following the operational closure of the joint programme.

## 4.10 Specific procedure for the GCM Follow Up and Review Window

### Submission of project proposal

Jointly or separately, the PUNOs will submit project proposals in support of the follow-up and review processes of the Global Compact as outlined under articles 48 to 50 of General Assembly resolution 73/195 to the secretariat of the UN Network on Migration. After reviewing and vetting the project documents, consulting as necessary the Executive Committee of UN Network on Migration, the secretariat of the UN Network on Migration will submit the funding requests to the Chair of the Migration MPTF through the Fund Management Unit.

### Allocation Decisions

The allocation decision is made by the Chair of the Steering Committee, using exclusively funds strictly earmarked by donors towards the GCM Follow Up and Review Window. Depending on funding available, the Chair may decide to fully or only partially fund the project documents submitted by the Participating Organizations.

### Transfer to PUNOs

The Fund Management Unit will prepare a fund transfer request for fund allocation which will be signed by the Chair of the Steering Committee. The Administrative Agent will process the approved fund allocations and transfer the corresponding from the funds earmarked towards the GCM Follow Up and Review Window to the PUNOs within five business days following the receipt of the transfer request. As soon as the fund transfer has been processed, the



Administrative Agent will notify by email both the Representative(s) of the PUNO(s) receiving the funds and the Fund Management Unit.

### **Project closure**

All project activities should be completed by the operational end date indicated in the document approved by the Chair of the Steering Committee and final narrative reports should be submitted to the Fund Management Unit within two months of operational closure of the project.

Upon receipt, final narrative reports will be uploaded to the MPTF Office Gateway to reflect fully closed projects.

To enable the financial closure of the joint programme, the PUNO must provide a certified financial report no later than 30 June of the year following the operational closure of the joint programme.

## 5. MONITORING, EVALUATION AND REPORTING

### 5.1 Monitoring

The monitoring and quality assessment of the Migration MPTF will be undertaken by the Steering Committee, with the support of the Fund Management Unit. The Fund will adopt a Results-Based Management (RBM) approach which will be used for monitoring programmes to achieve results, improve performance and integrate lessons learned into the Steering Committee's decisions and actions on performance.

At the fund-level, the monitoring of the Migration MPTF will be based on achievements in relation to results expressed in the Fund's Result Framework (see Annex A)<sup>5</sup>. The Migration MPTF Results Framework is based on the objectives and purpose of the Fund as stated in its Terms of Reference, as well as the Guiding Principles articulated in the GCM.

As outlined in the joint programme document template (Annex D), a detailed results matrix is required for each joint programme to be funded by the Migration MPTF. The PUNOs are responsible for continuous monitoring of programmes in accordance with the joint programme results matrixes, while the Fund Management Unit oversees the process and, with the support of the Network Secretariat, provides advice on proper performance indicators and methods of data collection and analysis (over time the Migration MPTF will build a library of indicators relevant to the Fund). The PUNOs will provide mid-year results and budget monitoring updates to the FMU.

The evaluation of the performance against each output indicator will take external factors into account as well as the pre-identified assumptions and risks.

### 5.2 Evaluation

#### At the joint programme level:

All joint programmes funded by the Migration MPTF will be subject to a joint final independent evaluation within six months of operational completion. These end-of-joint programme/summative evaluations will assess the degree to which the joint programmes met the objectives as outlined in the joint programme documents, with particular emphasis on the criteria of relevance, efficiency, effectiveness, impact and sustainability. The evaluation will follow the guidance as outlined in the UN Evaluation Group's 'Norms and Standards for Evaluation 2017 Guidance (see <http://www.uneval.org/document/detail/1914>). It will be managed jointly by the PUNOs as per established process for independent evaluations, including the use of a joint evaluation steering group and dedicated evaluation managers not involved in the implementation of the joint programme. The management and implementation of the joint evaluation will have due regard to the evaluation policies of the PUNOs to ensure the requirements of those policies are met and the evaluation is conducted with use of appropriate guidance from the PUNOs on joint

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<sup>5</sup> Due to the very specific nature of the GCM Follow Up and Review Window (mainly dedicated to provide support of a logistics nature to the IMRF process, the Fund Results Framework will not be applied to monitor the use of resources earmarked for this purpose.

evaluation. The evaluation process will be participative and will involve all relevant programme's stakeholders and partners.

The cost of these evaluations will be included in the budget of the joint programme.

The FMU will review and analyse the final independent evaluations and, on an annual basis, provide the Steering Committee with a summary of relevant recommendations and lessons learned.

#### **At the Migration MPTF level:**

Independent evaluations of the Migration MPTF will be commissioned by the Steering Committee to assess the overall performance of the initiative, inclusive of its design, management and overall performance against global objectives. These evaluations will provide specific recommendations to the Steering Committee to guide any revisions to the results framework, the governance arrangements, and/or the programming cycles.

All evaluations undertaken by the Fund will be made available on the website of the United Nations Evaluation Group of the UNSDG, as well as the websites of the Administrative Agent and the UN Network on Migration.

The costs of these evaluations will be charged as direct costs to the Fund. The Fund Management Unit will present a project document including a work plan (with schedule) and a budget, which must be approved by the Steering Committee.

## **5.3 Reporting**

### **5.3.1 Joint programmes narrative reports**

Each PUNO will provide the Convening UN Organization with the required inputs for the narrative report of the Joint Programme, according to a timeline and a format to be adopted by the participants to the joint programme. Timelines and formats agreed upon by the joint programme partners will need to enable the Convening UN Organization to prepare the consolidated joint programme report in a timely and adequate manner.

The Convening UN Organization will compile the information received from the PUNOs and submit a consolidated report to the Fund Management Unit, with copy to the Resident Coordinator, using the Migration MPTF report template (Annex F). Consolidated joint programme reports will be submitted by the deadlines below:

- Annual narrative progress reports within a maximum of three months of the end of the calendar year (by 31 March)
- Final narrative report within a maximum of four months of the end of the calendar year (by 30 April) following the operational closure of the Fund.

In case of single-agency projects funded through the GCM Follow Up and Review Window, the PUNO will submit the annual and final narrative progress reports directly to the Fund Management Unit at the deadline mentioned above for the submission to the Fund Management Unit by the Convening UN Organization.

The consolidated joint programme narrative reports and GCM Follow Up and Review Window projects will be made publicly available through the MPTF Office Gateway.

### 5.3.2 Joint programmes financial reports

PUNOs at headquarters level will provide the Administrative Agent with annual and final financial reports and certified financial statements broken down by the UNDG budget categories through the UNEX portal as per the timelines specified in the Memorandum of Understanding:

- Annual financial reports as of 31 December within a maximum of four months (30 April) after the end of the calendar year; and
- Certified final financial statements and final financial reports within a maximum of five months (31 May) after the end of the calendar year in which the financial closure occurred.

### 5.3.3 Joint programmes updates (mid-year and final)

In addition to the reports listed above, the Convening UN Organization will submit to the Fund Management Unit a short mid-year (as of 30 June) update on implementation progress, using the template provided in annex (Annex G). These updates will be submitted by 15 August. They will be brief (maximum one page of narrative) and will simply consist of the following:

- Update on milestones reached and key achievements to date;
- Update on budget commitments at outcome level; and,
- Flagging of any significant challenge or problems faced

A similar update, using the same template, will be submitted within six weeks of the agreed end date of the joint programme.

These updates will not be considered as official reports and financial information will remain uncertified. Unlike the annual and final reports, these documents or the information they contain will not be made public. They are to be used as a monitoring tool by the Fund Management Unit in support of the Steering Committee, allowing the Migration MPTF to react in a timely manner in case of unexpected challenges or delays.

### 5.3.4 Migration MPTF reports

Based on the narrative reports submitted by the Convening UN Organizations as well as the end of joint programme independent evaluations and/or any other evaluation commissioned by the Steering Committee, the Fund Management Unit will prepare one annual (or final) narrative progress report, which will be submitted to the Administrative Agent by 21 May.

The narrative report will include lessons learned and highlight both challenges and achievements from the implementation of the initiatives supported by the Fund, as well as the functioning of the Fund. Reports will include important findings and recommendations from analysing the joint programme portfolio and results in relation to the objectives of the GCM. The report will also describe how the Fund contributes to reducing fragmentation of initiatives and financing efforts, facilitating scale and partnerships, providing incentives for pursuing collectively identified priorities and increasing coherence in implementing the GCM.

Based on the financial reports submitted by the PUNOs, the Administrative Agent will prepare a consolidated financial annual (or final) report which will provide the following information:

- General financial overview;

- Contributions by donors;
- Net amount of financing by thematic area;
- Net amount of financing by joint programme;
- Net amount of financing by PUNO;
- Total expenditure figures and financial implementation rate by UNDG budget category;
- Expenditure figures and financial implementation rate by thematic area;
- Expenditure figures and financial implementation rate by joint programme; and,
- Expenditure figures and financial implementation rate by participating organization.

The Administrative Agent will consolidate its financial report with the narrative report prepared by the Fund Management Unit and will submit the Migration MPTF consolidated narrative and financial report to the donors and the Steering Committee by the deadlines specified in the Standard Administrative Arrangement:

- Annual consolidated narrative and financial report as of 31 December no later than five months (31 May) after the end of the calendar year;
- Final narrative and annual financial report as of 31 December no later than six months (30 June) after the end of the calendar year in which the operational closure of the Migration MPTF occurred; and,
- Final financial report no later than five months (31 May) after end of the calendar year in which the financial closure of the Fund occurred.

In addition to the above-mentioned reports, the Administrative Agent will provide the donors and the Steering Committee with the following statements on its activities as Administrative Agent:

- Certified annual financial statement (“Source and Use of Funds” as defined by UNSDG guidelines) to be provided no later than five months (31 May) after the end of the calendar year; and,
- Certified final financial statement (“Source and Use of Funds”) to be provided no later than seven months (31 July) of the year following the financial closing of the Fund.

The consolidated reports and related documents will be posted on the websites of the United Nations Network on Migration and the Administrative Agent.

## 6. RISK MANAGEMENT

The design and implementation of a solid risk management strategy is an integral feature of all pooled funds. In this context, the Steering Committee of the Migration MPTF endorsed a risk management strategy, to enable its mission of supporting safe, orderly and regular migration, in line with the GCM principles and objectives.

The objectives of the risk management strategy are to:

- Inform decision-making at all levels of the Fund and increase the impact of such decisions;
- Protect the Migration MPTF, its stakeholders and its beneficiaries; and
- Build capacity, through information sharing and guidance to all Migration MPTF stakeholders on risk management

The Migration MPTF's risk management is designed to address the factors and events that may undermine or otherwise affect the realization of the Fund's objectives, as outlined in its Terms of Reference. As of November 2020, the Steering Committee identified the following risks, and agreed to monitor and manage these risks:

- Fund governance and decision-making undermine effectiveness, and undermine the principles of the GCM.
- Fund operations undermine effectiveness of the Fund, leading to disengagement from key actors.
- Investments fail to show results / do harm (including through fraud), undermining GCM agenda and trust in the Fund.
- A gap is created between expectations and ability to support GC implementation, which undermines credibility of the Fund, support and willingness to engage with the Fund (from UNCT, host governments, donors).

The full risk management strategy and corresponding register can be found in Annex B.

## 7. FUND CLOSURE

The Migration MPTF has been established for an initial duration through the first International Migration Review Forum in 2022. It may be extended based on approval by the Steering Committee, provided that the Fund capitalization levels remain above the thresholds outlined in the 2015 “UNDG Guidance on Establishing, Managing and Closing Multi Donor Trust Funds”<sup>6</sup> (or any updated version).

If the Fund is not extended, the last date to transfer funds to the PUNOs will be 30 June 2022. Completion of all operational activities will be 31 December 2022. The dissemination of the final narrative report will be 31 May 2023.

All PUNOs will provide certified final financial reports on financially closed joint programmes by 31 May 2024, or no later than five months (31 May) after the end of the calendar year in which the financial closure of the activities in the approved programmatic document occurs, or according to the period specified in the financial regulations and rules of the PUNO in question, whichever is earlier. The dissemination of the certified final financial statement 20 (“Source and Use of Funds”) is to be provided no later than 31 May 2025; that is, five months (31 May) after the end of the calendar year in which the financial closing of the Fund occurs.

Notwithstanding the completion of the initiatives financed from the Fund, any unutilized balances will continue to be held in the Fund account until all commitments and liabilities incurred in implementation of the programmes have been satisfied and programme activities have been brought to an orderly conclusion.

As per the standard MOU and SAA, any balance remaining in the Fund account upon completion of the Fund will be used for a purpose mutually agreed upon or returned to the Donor in proportion to its contribution to the Fund as decided upon by the Donor and the Steering Committee.

The closing of the Fund is carried out by the Administrative Agent and it encompasses the following steps:

1. Verify that all joint programmes have been financially closed;
2. Verify that all fund direct costs projects have been financially closed;
3. Verify that all interests have been received;
4. Refund to donors the balance of the account (including interest);
5. Issue the certified final report of the activities of the AA; and,
6. Proceed with closure of the Fund in the system.

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<sup>6</sup> See: <https://unsdg.un.org/resources/undg-guidance-establishing-managing-and-closing-multi-donor-trust-funds>

## 8. COMMUNICATION AND PUBLIC DISCLOSURE

### 8.1 Communication

The Migration MPTF offers the PUNOs and their partners a significant opportunity to launch collaborative initiatives, promote integrated approaches, and adopt innovative strategies to support the implementation of the GCM. Communicating aims, progress, challenges, and good practices is integral to the success of the Migration MPTF initiative.

Joint programmes funded by the Migration MPTF will require a communication strategy for their implementation, including, whenever possible, integrating communication activities into the work plan and costs of those activities in the joint programme budget. In communicating processes and results, the tools, instruments, and materials will vary according to country context. PUNOs should agree on and include a communication strategy relevant to the local context in their joint programme proposals.

PUNOs and their partners must comply with Migration MPTF Visibility Requirements, which include information on donor visibility requirements. The Visibility Requirements will be made available to UNCTs prior to the implementation of their joint programme.

### 8.2 Public disclosure

Each PUNO will take appropriate measures to publicize the Migration MPTF and give due credit to the other PUNOs. All related publicity material, official notices, reports and publications, provided to the media or Migration MPTF beneficiaries, will acknowledge the role of the Government(s), donors, PUNOs, the Administrative Agent, and any other relevant entities. In particular, the Administrative Agent will include and ensure due recognition of the role of each PUNO and partners in all external communications related to the Migration MPTF.

The Administrative Agent, in consultation with the PUNOs, will ensure that periodic reports on the progress of implementation of the Fund, or associated external evaluations are posted, where appropriate, for public information on the Migration MPTF webpage (<http://mptf.undp.org/factsheet/fund/MIG00>) of the website of the AA (<http://mptf.undp.org/>). Such reports and documents may include approved programmes and programmes awaiting approval, funding levels, annual financial and progress reports, and external evaluations, as appropriate. Transparency of the Fund will be ensured by its inclusion in the MPTFO's online Gateway which can be publicly accessed.



## 9. AMENDMENT OF THE OPERATIONS MANUAL

The Migration MPTF Steering Committee may approve a revision of the Operations Manual when circumstances require an adjustment of procedures, provided such amendments are consistent with the mandates, policies, and procedures of the United Nations, as well as with the provisions of the Memorandum of Understanding and the Standard Administrative Arrangement.

## **10. ANNEXES**

Annex A: Results Framework

Annex B: Risk Management Strategy

Annex C: Concept Note Template

Annex D: Joint Programme Document Template

Annex E: Joint Programme Revision Template

Annex F: Annual / Final Progress Report Template

Annex G: Joint Programme Update Template

Annex H: Human Rights Marker Guidance Note

Annex I: Gender Marker Guidance Note

## Annex A: Results Framework

# Migration MPTF RESULTS FRAMEWORK

The Results Framework for the Migration MPTF is based on the objectives and purpose of the Fund as articulated in the TOR, as well as the Guiding Principles articulated in the Global Compact for Safe, Orderly and Regular Migration (the Global Compact). It encompasses the following three elements:

- 1) Alignment with the Sustainable Development Goals (SDGs);
- 2) Programmatic alignment to the Global Compact Guiding Principles, sustainability and partnerships; and
- 3) Operational effectiveness and performance.

The underlying premise and the approach taken are:







- The Migration MPTF results will focus on outcomes and outputs related to alignment with key Global Compact Guiding Principles of funded Joint Programmes and initiatives. Programmatic/ thematic results will be reflected in the respective Joint Programme results frameworks. In addition, country-level results will be complemented by narratives / stories on how these results were achieved;
- The operational aspects of the Migration MPTF will be assessed through specific performance indicators;
- A corresponding Monitoring Framework with Means of Verification, Data Source, baselines and targets (where applicable) will be developed to complement the monitoring of the Results Framework. The elements of the Monitoring Framework may be adjusted as and when deemed necessary;
- A library of programmatic indicators will also be developed, for use by Joint Programmes to be funded by the Migration MPTF; and
- At the end of 2022, the Results Framework will be reviewed and adjusted to capture lessons learned from the 2020-2021 operationalization of the Migration MPTF.

### 1. Alignment with the Sustainable Development Goals (SDGs)

The Global Compact is rooted in the 2030 Agenda for Sustainable Development and aims to leverage the potential of migration for the achievement of all Sustainable Development Goals (SDGs), as well as the impact this achievement will have on migration in the future. As such, it is imperative that all Migration MPTF funded joint programmes and initiatives are firmly aligned to the SDGs.

As a programmatic framework, the Migration MPTF clusters the Global Compact's 23 objectives under 5 thematic areas, and all Joint Programmes funded by the Migration MPTF will implement under one of these thematic areas. In addition, in order to be funded, every project will be required to contribute towards a relevant SDG target. The Migration MPTF Management Unit (herein after: Fund Management Unit, or FMU) will thus track and analyse the funding allocations to these thematic areas, as well as to the relevant SDG targets.

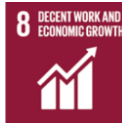
The key linkages between each thematic area and SDG targets are listed below. Please note that these linkages will be revisited annually, based on Migration MPTF Steering Committee and UN Network on Migration inputs and programmatic lessons learned, as necessary.

Global Compact Objective	Linkages to Key Sustainable Development Goals and Targets	
<b>Cross-Cutting – Applicable to all Thematic Areas:</b>		
<p><b>Obj 23:</b> Strengthen international cooperation and global partnerships for safe, orderly and regular migration</p> <p><i>Note: Objective 23 on international cooperation is incorporated in each thematic area to signify that all thematic areas can also support regional and global projects.</i></p>	  	<p><b>10.7:</b> Facilitate orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies</p> <p><b>17.16:</b> Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the sustainable development goals in all countries, in particular developing countries</p>
<b>Thematic Area 1: Promoting fact-based and data-driven migration discourse, policy and planning</b>		
<p><b>Obj 1:</b> Collect and utilize accurate and disaggregated data as a basis for evidence-based policies</p> <p><b>Obj 3:</b> Provide adequate and timely information at all stages of migration</p> <p><b>Obj 17:</b> Eliminate all forms of discrimination and promote evidence-based public discourse to shape perceptions of migration</p>	  	<p><b>16.B:</b> Promote and enforce non-discriminatory laws and policies for sustainable development</p> <p><b>17.18</b> By 2020, enhance capacity-building support to developing countries, including for least developed countries and small island developing States, to increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts</p>
<b>Thematic Area 2: Protecting the human rights, safety and wellbeing of migrants, including through addressing drivers and mitigating situations of vulnerability in migration</b>		
<p><b>Obj 2:</b> Minimize the adverse drivers and structural factors that compel people to leave their country of origin</p> <p><b>Obj 7:</b> Address and reduce vulnerabilities in migration</p>	  	<p><b>1.5:</b> By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters</p> <p><b>3.D:</b> Strengthen the capacity of all countries, in particular developing countries, for early warning, risk reduction and management of national and global health risks</p>

**Obj 8:** Save lives and establish coordinated international efforts on missing migrants

**Obj 12:** Strengthen certainty and predictability in migration procedures for appropriate screening, assessment and referral

**Obj 13:** Use migration detention only as a measure of last resort and work towards alternatives



**5.2:** Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation

**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

**8.8:** Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment

**16.1:** Significantly reduce all forms of violence and related death rates everywhere

**16.2:** End abuse, exploitation, trafficking and all forms of violence against and torture of children

**16.3:** Promote the rule of law at the national and international levels and ensure equal access to justice for all.

**Thematic Area 3: Addressing irregular migration including through managing borders and combatting transnational crime**

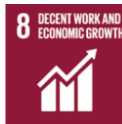
**Obj 9:** Strengthen the transnational response to smuggling of migrants

**Obj 10:** Prevent, combat and eradicate trafficking in persons in the context of international migration

**Obj 11:** Manage borders in an integrated, secure and coordinated manner

**Obj 14:** Enhance consular protection, assistance and cooperation throughout the migration cycle

**Obj 21:** Cooperate in facilitating safe and dignified return and readmission, as well as sustainable reintegration



**5.2:** Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation

**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

**16.2:** End abuse, exploitation, trafficking and all forms of violence against and torture of children

**16.3:** Promote the rule of law at the national and international levels and ensure equal access to justice for all

**16.4:** By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime

**16.6:** Develop effective, accountable and transparent institutions at all levels

**Thematic Area 4: Facilitating regular migration, decent work and enhancing the positive development effects of human mobility**

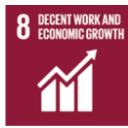
**Obj 5:** Enhance availability and flexibility of pathways for regular migration

**Obj 6:** Facilitate fair and ethical recruitment and safeguard conditions that ensure decent work

**Obj 18:** Invest in skills development and facilitate mutual recognition of skills, qualifications and competences

**Obj 19:** Create conditions for migrants and diasporas to fully contribute to sustainable development in all countries

**Obj 20:** Promote faster, safer and cheaper transfer of remittances and foster financial inclusion of migrants



**1.4:** By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

**3.C:** Substantially increase health financing and the recruitment, development, training and retention of the health workforce in developing countries, especially in least developed countries and small island developing States

**4.4:** By 2030, substantially increase the number of youth and adults who have relevant skills, including technical and vocational skills, for employment, decent jobs and entrepreneurship

**5.2:** Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation

**5.4:** Recognize and value unpaid care and domestic work through the provision of public services, infrastructure and social protection policies and the promotion of shared responsibility within the household and the family as nationally appropriate

**8.5:** By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value

**8.6:** By 2020, substantially reduce the proportion of youth not in employment, education or training

**8.8:** Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment

**10.C:** By 2030, reduce to less than 3 per cent the transaction costs of migrant remittances and eliminate remittance corridors with costs higher than 5 per cent

**17.3:** Mobilize additional financial resources for developing countries from multiple sources

**Thematic Area 5: Improving the social inclusion and integration of migrants**

**Obj 4:** Ensure that all migrants have proof of legal identity and adequate documentation

**Obj 15:** Provide access to basic services for migrants

**Obj 16:** Empower migrants and societies to realize full inclusion and social cohesion

**Obj 22:** Establish mechanisms for the portability of social security entitlements and earned benefits



**1.3:** Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

**1.4:** By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance



**3.7:** By 2030, ensure universal access to sexual and reproductive health-care services, including for family planning, information and education, and the integration of reproductive health into national strategies and programmes

**3.8:** Achieve universal health coverage, including financial risk protection, access to quality essential health-care services and access to safe, effective, quality and affordable essential medicines and vaccines for all



**4.1:** By 2030, ensure that all girls and boys complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes

**8.5:** By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value

**8.6:** By 2020, substantially reduce the proportion of youth not in employment, education or training



**10.2:** By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status

**10.4:** Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality



**11.1:** By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums

**16.7:** Ensure responsive, inclusive, participatory and representative decision-making at all levels

**16.9:** By 2030, provide legal identity for all, including birth registration

**16.B:** Promote and enforce non-discriminatory laws and policies for sustainable development



## 2. Programmatic alignment to the Global Compact Guiding Principles, Sustainability and Partnerships

The Global Compact lays out cross-cutting and interdependent guiding principles as follows: (a) People-centred; (b) International cooperation; (c) National sovereignty; (d) Rule of law and due process; (e) Sustainable development / 2030 Agenda; (f) Human rights; (g) Gender-responsive; (h) Child-sensitive; (i) Whole-of-government approach; and (j) Whole-of-society approach.

Guiding Principle (e) on Sustainable Development will be ensured via the funding allocation requirement as outlined above. Guiding Principles (b), (c) and (d) are inherent in the nature of the Migration MPTF objectives and funding criteria, and as such adherence will be ensured through the Joint Programme proposal submission and selection process, as well as ongoing programmatic monitoring of funded programmes:

(b) International cooperation: The Global Compact expresses the global collective commitment to improving cooperation on international migration. As outlined in the Introduction of its Terms of Reference, the establishment of the Migration MPTF was premised under this tenet, and as such all Joint Programmes and initiatives, by its very association with the Migration MPTF adheres to this principle.

(c) National sovereignty: Also outlined in its TOR, the Migration MPTF will adhere to the Global Compact's key principle of national sovereignty, that Member States will determine their own tailored policies and plans to support their implementation of the Global Compact according to their unique migratory and contexts. The Fund will support alignment of national objectives in implementing the Global Compact, and all country-based project proposals will require the formal endorsement of the national government.

(d) Rule of law and due process: The Migration MPTF recognizes that respect for the rule of law, due process and access to justice are fundamental to all aspects of migration governance. All funding allocations will be premised on this tenet, and all recipient and implementing partners will be accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and are consistent with international law.

In order to ensure that Guiding Principles (a), (f), (g), (h), (i) and (j) are observed, the following results and indicators are incorporated in the Results Framework (see Results Area 1, 1.1 to 1.6 below). Moreover, the Migration MPTF will monitor the joint programme achievement of results and their sustainability, as well as complementarity of its interventions (see Results Area 2, 2.1 to 2.2 below).



**RESULT AREA 1: The Joint Programmes and Initiatives funded by the Migration MPTF is aligned to key Global Compact Guiding Principles**

<b>1.1: Joint Programmes and initiatives funded by the Migration MPTF are people-centred</b>	
<b>Indicator</b>	
1.1.1	% of joint programmes and initiatives that consulted with, and explicitly reflect the needs and concerns of migrants and/or migration affected communities in its design
<b>1.2: Joint Programmes and initiatives funded by the Migration MPTF are founded on international human rights law and its principles, and take a rights-based approach to programming</b>	
<b>Indicators</b>	
1.2.1	% of joint programmes that self-report as: (A) The Human Rights Marker has largely been achieved; (B) The Human Rights Marker shows significant integration of human rights in the joint programme but some challenges remain; or (C) The Human Rights Marker shows a very partial integration of human rights in the joint programme. <i>Reference: Migration MPTF Human Rights Marker Guidance Note (Annex H)</i>
<b>1.3: Joint Programmes and initiatives funded by the Migration MPTF are gender-responsive</b>	
<b>Indicators</b>	
1.3.1	% of joint programmes and initiatives that: (A) Have gender equality and women’s empowerment (GEWE) as the primary objective; (B) Significantly contribute to gender equality and women’s empowerment (GEWE); or (C) Make a marginal contribution to gender equality and women’s empowerment (GEWE), but not significantly. <i>Reference: Migration MPTF Gender Marker Guidance Note (Annex I)</i>
<b>1.4: Joint Programmes and initiatives funded by the Migration MPTF are child-sensitive</b>	
<b>Indicators</b>	
1.4.1	% of joint programmes and initiatives that: (a) Have upholding the rights and addressing the needs of boys and girls under 18 as the primary or principal objective; or (b) Make a significant contribution towards upholding the rights and addressing the needs of boys and girls under 18; or (c) Contribute in some way to upholding the rights and addressing the needs of boys and girls under 18. <i>Note: In assessing the joint programmes, the four core principles of the Convention on the Rights of the Child (best interests of the child; non-discrimination; child participation; and survival and development) will be taken into account.</i>
<b>1.5: Joint Programmes and initiatives funded by the Migration MPTF take a whole-of-government approach.</b>	
<b>Indicators</b>	
1.5.1	% of joint programmes and initiatives that include as partners more than one government line entity <i>Note: To disaggregate government line ministries/departments/sectors as necessary</i>
1.5.2	% of joint programmes and initiatives that enter into implementation agreements (financial or other) with local government and related entities (e.g. provincial, municipal, district agencies). <i>Note: To disaggregate by type of agreement</i>

**1.6: Joint Programmes and initiatives funded by the Migration MPTF take a whole-of-society approach.**

Indicators	
1.6.1	% of joint programmes and initiatives that include non-UN and non-governmental stakeholders in its programme management and coordination mechanisms <i>Note: To disaggregate by type of stakeholder as per the Global Compact definition</i>
1.6.2	% of joint programmes and initiatives that enter into implementation agreements with non-governmental stakeholders <i>Note: To disaggregate by type of partners as per the Global Compact definition.</i>

**RESULT AREA 2: The Joint Programmes and Initiatives funded by the Migration MPTF are sustainable and complementary to other development initiatives**

**2.1: Expected results of the Joint Programmes and Initiatives funded by the Migration MPTF have been achieved and are sustainable**

Indicators	
2.1.1	% of joint programmes and initiatives outcomes and output results achieved by end of project <i>Note: This will be determined by a combination of project self-reporting (MOV: Project final reports) and FMU qualitative assessment</i>
2.1.2	% of joint programmes and initiatives that are evaluated as achieving sustainable results <i>Note: Common definition of sustainability will be included in all Evaluation Terms of References (e.g. government ownership, exit strategy, expansion/continuation of activities by other entities, etc.)</i>

**2.2: The Joint Programmes and Initiatives funded by the Migration MPTF are complementary to other development projects and initiatives**

Indicators	
2.2.2	% of joint programmes and initiatives that are mutually reinforcing with other local, national, regional or global development initiatives <i>Note: To define “mutually reinforcing”</i>

### 3. Operational Effectiveness and Performance

To ensure the Migration MPTF is managed and operationalised in an effective manner, the following performance related result and indicators will be incorporated in this Results Framework.

#### RESULT AREA 3: The Migration MPTF is managed efficiently, coherently, and consistently

3.1: Financial resource mobilisation and utilisation	
Indicators	
3.1.1	Volume of resources mobilised annually (in million USD) <i>Note: To disaggregate by type of donor</i>
3.1.2	% of resources mobilised that are earmarked <i>Note: To disaggregate by thematic priorities</i>
3.1.3	% of resources allocated to each thematic priority <i>Note: Disaggregate by funding cycle</i>
3.2: Approval process of joint programmes are facilitated in an efficient and consistent manner.	
Indicators	
3.2.1	% of Concept Notes and joint programme documents submitted to the Migration MPTF that are reviewed per transparent criteria, and assessed in a timely manner as defined by the Operations Manual.
3.2.2	% of Joint Programmes that initiate implementation within 20 working days of approval of the final proposal by the Steering Committee <i>Note: Implementation is deemed to be initiated when the Administrative Agent transfers the funds to the Participating UN Organization(s)</i>
3.3: Implementation of joint programmes are monitored	
Indicators	
3.3.1	% of annual Joint Programme reports and mid-year updates submitted on time, or within 10 working days of the deadline.
3.3.2	% of joint programmes that complete joint final independent evaluations within 6 months of completion of project activities.
3.4: Decisions made by the Steering Committee are implemented in a timely and comprehensive manner	
Indicators	
3.4.1	Number of Steering Committee Meetings organised as planned in the Migration MPTF Operations Manual, with participation of the quorum of members
3.4.2	Annual Consultative Forum organized
3.4.3	% of Steering Committee decisions implemented within the agreed timelines
3.4.4	Number of Migration MPTF annual consolidated narrative and financial reports submitted to the Steering Committee and donors by agreed deadlines
3.5: Risks related to the management of the Migration MPTF are monitored and managed.	
Indicators	
3.5.1	Migration MPTF Risk Management Strategy in place and reviewed annually

## Annex B: Risk Management Strategy

# Migration MPTF RISK MANAGEMENT STRATEGY

### I. Introduction

The design and implementation of a solid risk management strategy is now an expected standard feature of all pooled funds. In the Funding Compact endorsed by ECOSOC in July 2019<sup>7</sup>, the Member States committed, inter alia, to double their support to the UN through pooled funds while the UN committed, inter alia, to improving the management of pooled funds, including through the design and implementation of risk management systems and strategies.

In this context, the Steering Committee of the Migration Multi Partner Trust Fund (the 'Migration MPTF') has endorsed this risk management strategy, to enable its mission of supporting safe, orderly and regular migration., in line with the GCM principles and objectives.

### II. Objectives

The objectives of the risk management strategy are to:

- Inform decision-making at all levels of the Fund and increase the impact of such decisions
- Protect the Migration MPTF, its stakeholders and its beneficiaries
- Build capacity, through information sharing and guidance to all Migration MPTF stakeholders on risk management

### III. Key principles and approach

In line with the international risk management standard ISO 31000 and OECD guidance on risk management, the Migration MPTF's risk management strategy is based on the following principles:

- Risk management is integral to all aspects of the Fund's management and operations
- Risk management should follow the principle of subsidiarity, respectful of country and implementing entity level responsibilities, rules and procedures
- As such, in addition to global level risks emanating, inter alia, from the Fund's governance and operations, the strategy includes only those project level risks that, if they were to materialize, would impact the entire Fund.

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<sup>7</sup><https://www.un.org/ecosoc/sites/www.un.org.ecosoc/files/files/en/qcpr/SGR2019-Add%201%20-%20Funding%20Compact%20-%2018%20April%202019.pdf>

- Every Migration MPTF stakeholder is a source of risk and has a role to play in managing risks: from Fund contributors to Steering Committee members, UN entities, the Fund Management Unit (FMU), host governments and implementing partners

In addition, the approach taken in this strategy reflects the following design considerations:

- *Humility*, by recognizing uncertainty (and especially knowledge gaps which can never be fully filled), and accepting trade-offs (between risks & their mitigation measures)
- *Proportionality*, to align the strategy (including the number of risks and the risk management processes involved) with the Fund's size and needs, stakeholder capacities, and transaction/opportunity costs
- *Simplicity*, with a priority given to enabling a shared *concrete* understanding of risks, how they materialize and what to do about them, over formal categories and labels

#### IV. Fund risk register

The Migration Fund's risk management is designed to address the factors and events that may undermine or otherwise affect the realization of the Fund's objectives, which are (*as articulated in the Terms of Reference and Operations Manual*)

1. *"To assist Member States in the way that best meets their own national objectives, while upholding international law";*
2. *"To contribute to ensuring robust, coordinated, inclusive and coherent United Nations system-wide support to Member States in their implementation, follow-up and review of the GCM, while avoiding fragmentation in delivering on the GCM's 23 objectives";*
3. *"To help realize the intrinsic link between the GCM and the realization of all seventeen SDGs and particularly with respect to target 10.7 which calls on States to "facilitate orderly, safe, and responsible migration and mobility of people, including through implementation of planned and well-managed migration policies"; and,*
4. *"To facilitate adherence to the GCM's 360-degree approach"; and,*
5. *"To support collective action on migration and ensure that such trust, determination and solidarity amongst States and with other stakeholders can be fostered to ensure safe, orderly and regular migration."*

The risk register (see table below) is based on the definition of risk as the effect of uncertainty on the objectives. Risks are therefore framed as a possibility (with a likelihood and an impact), which leads to an outcome that affects the Fund's objectives as presented above.

In addition the risk register includes the following elements:

- *Risk indicators and frequency*, to understand if and when the risk is materializing and how often such analysis must be conducted;
- *Risk levels*, with result from an analysis of likelihood and impact, for which trends over successive periods of analysis must be recorded
- *Risk drivers* (or factors), which constitute the source of the risk. A risk driver can generate more than one risk. A risk driver can be contextual/external, or come from within (e.g. governance and structures, Steering Committee decisions, project performance, etc.)
- *Risk treatment measures*, focused on the drivers/factors, or sources as well as the risks (in order to mitigate the likelihood or the impact of the risk);
- *Risk treatment owners*, who will be response for implementing the measures;

- *Risk treatment monitoring*, to account for the possibility of second order risks emanating from the implementation of treatment measures.

## V. Treatment measures and monitoring

The Migration MPTF's risk management strategy includes a number of potential treatment measures for each risk. When agreeing on implementation of such measures, the Steering Committee will consider the following elements:

- The cost of the measure(s)
- The effectiveness of measure(s)
- The second order risks (i.e. the risks that implementing a measure may generate)

Updates to treatment measures will be proposed by the Fund Management Unit, on the basis of the risk analysis, consultations with UN entities implementing Fund joint programmes, and exchanges with other Funds on best practices. Such updates will be considered by the recently established Fund's Technical Group and submitted to the Steering Committee for endorsement.

The process for endorsement (electronic or in person meeting) will be decided by the Chair of the Steering Committee.

The FMU will present a status report on the implementation of the strategy to the Steering Committee on a semi-annual basis, which will include

- The risk analysis, based on the agreed frequency presented in the risk register
- The monitoring of second order risks as relevant
- Any other risk related development requiring Steering Committee consideration of decision

## VI. Institutional Arrangements

Considering the size of the Fund and existing capacities, institutional arrangements to implement the strategy in a way that adds value will rely on existing structures. As such:

The Steering Committee provides the oversight for the risk management strategy. In particular the Steering Committee:

- Approves the risk management strategy and any subsequent updates
- Approves, as required, specific treatment measures
- Reviews implementation of the strategy, on the basis of regular updates to the risk register as part of its agenda

The Steering Committee's technical group:

- Reviews and considers any updates to the risk management strategy and proposals for treatment measures as required before approval by the Steering Committee, as well as guidance to the UN country teams
- Discusses and shares information on risk systems and approaches as well as to live risk management cases as appropriate, with a view to inform updates to the risk management strategy and to the guidance to UN country teams

#### The Fund Management Unit:

- Manages the day to day implementation of the risk management strategy, including the consolidation of updates to the risk analysis and to guidance to UN country teams
- Directly engages with the Participating UN Organizations (PUNO) on the ground, through the RC offices, on project level risk management issues as required (including for projects with regional or sub regional dimensions where consultations will also include UN agencies at HQ and/or regional levels)
- Proposes updates to the risk management strategy overall and more specifically to treatment measures for consideration by the Technical Group and decision by the Steering Committee
- Supports the Steering Committee, the Technical Group and PUNOs with their risk management responsibilities

#### Participating UN Organizations:

- Manage project level risks according to their respective rules, regulations and systems
- Ensure the design and monitoring of high quality project level risk register
- Contribute, as required and possible, to the Fund's risk management strategy's objective of capacity building notably by providing inputs into the risk management guidance developed by the FMU and by participating in Fund level risk management discussions and analysis when called for by the FMU

#### *Risk analysis*

With a view to strengthening buy-in for the strategy, and in line with the principle of mutual accountability, the analysis of risks is a shared responsibility amongst members of the Steering Committee.

As such, different actors are responsible for monitoring specific risks at the agreed frequency (see risk register).

The FMU will consolidate the results of the risk analysis for the regular updates to the Steering Committee.

## VII. Operational instruments

In support of implementation, the strategy includes three operational tools:

1. The **risk register** (attached), which constitutes the main reference for risk management related discussions and decisions
2. **Guidance to UN country teams**. The non-prescriptive guidance will include common risks faced by PUNOs and other actors in migration related programming (including common risks at regional level) and potential treatment measures. It will be based on experience from the Fund's current and future portfolio, as well as practices collected from related interventions and other Funds; as such it will be regularly updated and shared by the FMU (*note: first iteration to be developed by December 2020*);
3. A set of **confidentiality and information-sharing protocols** to ensure that all actors can work together in trust and address risks effectively and collectively, while ensuring the Fund's transparency (*note: first iteration to be discussed in 2021*)

## VIII. Conclusion

The implementation of the risk management strategy requires a balance between the principles of efficacy in meeting its objectives stated in section II and proportionality. The extent to which the strategy achieves such balance will be reviewed at regular intervals. It will also constitute a core dimension of the Fund's evaluation.

The success of the strategy will also require collective adherence to the following best practices:

- A continual updating and improvement of analysis of context
- A portfolio-based approach to risk diversification
- Timely and usable feedback on risks
- Capacity for adaptability - based on new information
- A common acceptance of risks that can't be mitigated and instead have to be accepted
- A common agreement on trade-offs between risks

Finally, the Steering Committee acknowledges that any risk management strategy can only take the Fund to the last mile: beyond what the risk management process yields, additional contextual, political and ethical decisions will be required, to which the Steering Committee commits, in full dedication to the objectives and principles of the Global Compact on Migration.



Migration MPTF Risk Register

As of November, 2020

*Risk statement and outcome 1: Fund governance and decision-making undermine effectiveness, and undermine the principles of the GCM*

Indicators	Frequency	Responsible entity for analysis	Likelihood	Impact	Level (with trend)	Risk Drivers	Treatment measures (existing and/or potential)	Owner	Treatment measure monitoring
Difficulty and/or delays in reaching consensus (e.g. number of decisions postponed)	Based on SC meeting	FMU				Politicization of decision making / conflict of interests	Transparency of decisions made; diversity of SC composition; Consensus based decision making; Active individual SC member engagement in review process, including through use of relevant respective expertise as required	Steering Committee (herein after SC), for all SC related governance mechanisms; SC members	
Variance between actual portfolio versus established Investment targets	After each funding decision/ cycle		SC strategic differences on objectives/ approaches/ roles	Formalization of Technical Group as forum for consensus building	Technical Group				
			Capacity differences between SC members	Dedicated FMU support; Consideration of capacity in selection of SC members	FMU; Chair of SC				
			Rotation mechanism	Staggered rotation; Observatory status of incoming members before formal inclusion	SC (for all SC related governance mechanisms)				
			Earmarking decisions	Agreed earmarking thresholds/ceilings per thematic area; Earmarking at thematic area level only	Individual donors and SC (for all SC related governance mechanisms)				

*Risk statement and outcome 2: Fund operations undermine effectiveness of the Fund, leading to disengagement from key actors*

Indicators	Frequency	Responsible entity for analysis	Likelihood	Impact	Level (with trend)	Risk Drivers	Treatment measures (existing and/or potential)	Owner	Treatment measure monitoring
Delays in agreed processes (e.g. # days based on agreed timelines in Operations Manual)	After each funding decision/cycle	FMU				FMU capacities to provide adequate support	Additional staffing in line with size of portfolio; Increased support from MPTFO; best practice sharing with other Funds	Donors and SC members; MPTFO; FMU	
Stakeholder feedback	Semi-annual					Heavy transaction costs; including timeframes/targets	External check/review of procedures by pooled fund expert; Adherence to agreed timelines for submission review documents by FMU; Reduction in number of project received in line with funding available		
						Inadequate review process	Timely submission of proposals and FMU analysis to SC; Active engagement of SC members in review according to agreed timelines; RC leadership role in ensuring adequate consultation within UNCT and UN migration network at country level (MAF)	FMU; SC members; RC	
					Insufficient or untimely reporting	Review of reporting procedures and requirements by pooled fund expert	FMU		

**Risk statement and outcome 3: Investments fail to show results / do harm (including through fraud), undermining GC agenda and trust in the Fund**

Indicators	Frequency	Responsible entity for analysis	Likelihood	Impact	Level (with trend)	Risk Drivers	Treatment measures (existing and/or potential)	Owner	Treatment measure monitoring
Project Implementation rate	Semi-annual	FMU				Weaknesses in project design, including with regards to consultation process with national authorities and sustainability and exit strategies	Regular review of selection criteria and project template requirements based on lessons learned; Dedicated project design support from network focal points	ALL; Migration Network	
						Insufficient resources for project and portfolio impact	Coordinated / syndicated investments with other funds	FMU	
						COVID related changes to evidence/ programming requirements	Regular exchanges between UNCTs; Expert outreach; Increased focus on data as project requirement	FMU	
Project level risk incidence (e.g. aggregate # of risks increasing/materializing)	Semi-annual	FMU				Weak risk management capacities against fiduciary risks at project level	Strengthened risk management requirements in project submission; RC/entity leadership; FMU risk management support	PUNOS; RC; FMU	
						Insufficient SEAH safeguards at project level	Specific SEAH safeguards to be made explicit in project review and approval; Dedicated SEAH reporting included in reporting	PUNOS; FMU	
Project output and outcome achievement rate	Mid term / annual					Insufficient project level implementation capacity	Tranche funding based on implementation rate; Enhanced implementation capacity evidence prior to approval	SC (for all SC related governance mechanisms); FMU	

						Inadequate review process	Timely submission of proposals and FMU analysis to SC; Active engagement of SC members in review according to agreed timelines	FMU; SC members	
						Operational obstacles	Operational contingency plans as project requirements	FMU	
						Lack of coordination with other funding mechanism	Analysis of funding options/mechanisms at CN and project design phase; Coordinated / syndicated investments with other funding mechanisms where possible	FMU; SC members	

***Risk statement and outcome 4: A gap is created between expectations and ability to support GC implementation, which undermines credibility of the Fund, support and willingness to engage with the Fund (from UNCT, host governments, donors)***

Indicators	Frequency	Responsible entity for analysis	Likelihood	Impact	Level (with trend)	Risk Drivers	Treatment measures (existing and/or potential)	Owner	Treatment measure monitoring
Difference between capitalization and Funding requests (e.g. aggregate funding in pipeline)	Semi-annual	FMU				Insufficient donor support	Increased advocacy by all SC members; Syndicated investments with other funding mechanisms where possible; SC to review fund objectives and scale back or increase ambition, including number of projects, as necessary	SC; FMU	
			Lack of understanding of thematic cluster approach	Increased guidance from SC members and FMU, including through UN Migration Network channels	FMU; SC members				
Stakeholder feedback	Annual					Inadequate communication and/or miscommunication	Calibration of outreach effort with capitalization; agreed communication messages developed	FMU	
						Submission process (rolling basis, tier system etc.)	Calibration of outreach effort with capitalization; agreed communication messages developed	FMU	

## Annex C: Concept Note Template

# Migration MPTF CONCEPT NOTE

- *All submissions should be in the English language.*
- *Maximum Length: 6 pages not including the Signature page*
- *In all narrative inputs, please use “Calibri” font size 11 (apply “Normal” style)*
- *Please delete the instructions (in blue) in the final submission*

JOINT PROGRAMME INFORMATION	
<b>Joint Programme Title:</b>	
<b>Country(ies)/Region (or indicate if a global initiative):</b>	
<b>Convening UN Organization:</b>	
<b>PUNO(s) (PUNOs):</b>	
<b>Implementing Partners</b>	<i>List key governmental and non-governmental partners</i>
<b>Migration MPTF Thematic Area</b> <i>(select one and delete others)</i>	<input type="checkbox"/> Thematic Area 1: Promoting fact-based and data-driven migration discourse, policy and planning <input type="checkbox"/> Thematic Area 2: Protecting the human rights, safety and wellbeing of migrants, including through addressing drivers and mitigating situations of vulnerability in migration <input type="checkbox"/> Thematic Area 3: Addressing irregular migration including through managing borders and combatting transnational crime <input type="checkbox"/> Thematic Area 4: Facilitating regular migration, decent work and enhancing the positive development effects of human mobility <input type="checkbox"/> Thematic Area 5: Improving the social inclusion and integration of migrants
<b>Primary GCM Objectives</b>	<i>List key GCM objectives to which the joint programme contributes</i>
<b>Relevant SDG Target</b>	<i>List up to three SDG targets to which the joint programme contributes. Please refer to Annex C1: List of Global Compact Objectives per Thematic area and Key SDG Targets.</i>
<b>Expected Duration of Implementation (in months):</b>	
<b>Estimated Total Budget:</b>	

## PROPOSAL

### 1. Context and Rationale

- *What is the overall objective of the joint programme?*
- *Describe the core problems that the joint programme aims to address, including the needs of all intended beneficiaries.*
- *Describe the consultative process leading to the identification of the issues and the proposed initiative. The consultative process should include migrants and/or migration affected communities.*
- *Indicate linkages to relevant national (or regional) strategic priorities, including the UN Sustainable Development Cooperation Framework (UNSDCF) or UN Development Assistance Framework (UNDAF).*
- *Demonstrate complementarity and additionality: Does the Joint Programme complement existing initiatives in country or, if applicable, region? Will the expected development results not be reached otherwise? Why is the implementation of this Joint Programme timely?*

### 2. Expected Results

- *Provide a summary of the expected results at outcome and output levels, in a succinct bullet point format. If the Concept Note is approved and funding is available, this will be the basis for the Results Framework of the full joint programme document.*

### 3. Theory of Change

- *Explain the main elements and the underlying assumptions of the Theory of Change.*
- *Explain how the Theory of Change was applied to the proposed joint programme.*

### 4. Innovation and Sustainability

- *Indicate how the Joint Programme is innovative and potentially catalytic. For example, does the Joint Programme have potential for: a) a multiplier effect; b) scaling/replicating the solutions and results across issues and sectors, and/or across geographies; and c) leveraging additional financing?*
- *Briefly explain how this joint programme builds on what has been done or is currently being done by the UN and other actors in county/region.*
- *Indicate how you plan to ensure the sustainability of results after the end of the Joint Programme.*

### 5. Partnerships

- *Outline the people-centred, whole-of-government and whole-of-society approach underlying the Joint Programme by elaborating on the below:*
- *Were migrants and/or migration affected communities consulted during the design of this proposal? Does the proposal explicitly reflect the needs and concerns of migrants and/or migration affected communities?*
- *Will the Joint Programme propose to work with more than one government line entity, and/or with local government(s) and/or related entities?*
- *Does the Joint Programme propose to incorporate multi-stakeholder partnerships approach throughout the design and implementation? Please name the various stakeholders and their respective interests, capacities and roles/ functions in the steering and implementation of the programme.<sup>8</sup>*

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<sup>8</sup> Please refer to paras 15j and 44 in A/RES/73/195 *Global Compact for Safe, orderly and Regular Migration*, for a full list of stakeholders.

## 6. Cross-Cutting Principles

6a) First, please provide a self-assessment of the below markers:

Marker Questions <sup>9</sup>	
<p><b>Human Rights Marker Score (A, B, C or N/A if none applies)</b></p> <p>Which of the following human rights marker applies to your proposal?</p> <p><b>A:</b> The Human Rights Marker has largely been achieved</p> <p><b>B:</b> The Human Rights Marker shows significant integration of human rights in the joint programme but some challenges remain.</p> <p><b>C:</b> The Human Rights Marker shows a very partial integration of human rights in the joint programme</p> <p><i>Please refer to the Migration MPTF Human Rights Marker Guidance Note, Annex: Self-Assessment Matrix</i></p>	
<p><b>Gender Marker Score (A, B, C or N/A if none applies)</b></p> <p>Which of the following gender marker applies to your proposal?</p> <p><b>A:</b> Projects that have gender equality and women’s empowerment (GEWE) as the primary objective</p> <p><b>B:</b> Projects that significantly contribute to gender equality and women’s empowerment (GEWE)</p> <p><b>C:</b> Projects that make a marginal contribution to gender equality and women’s empowerment (GEWE), but not significantly</p> <p><b>N/A:</b> Projects that are not expected to make a noticeable contribution to advancing gender equality and/ or the women’s empowerment (GEWE)</p> <p><i>Please refer to the Migration MPTF Gender Marker Guidance Note</i></p>	
<p><b>Child Sensitivity Marker Score (A, B, C or N/A if none applies)</b></p> <p>Which of the following child sensitivity marker applies to your proposal?</p> <p>A) Upholding the rights and addressing the needs of boys and girls under 18 is the primary or principal objective</p> <p>B) Will make a significant contribution towards upholding the rights and addressing the needs of boys and girls under 18</p> <p>C) Will contribute in some way to upholding the rights and addressing the needs of boys and girls under 18</p>	

<sup>9</sup> Please refer to the Migration MPTF Guidance Notes on the Human Rights Marker and Gender Marker, available in Annexes H and I, Migration MPTF Operations Manual.

6b) Then, please elaborate on how the following cross-cutting principles will be mainstreamed, and how that will contribute to overall results of the Joint Programme.

- *Human rights: Ensure effective respect for and protection and fulfilment of the human rights of all migrants, regardless of their migration status, across all stages of the migration cycle. In addition, commit to eliminate all forms of discrimination, including racism, xenophobia and intolerance, against migrants and their families.*
- *Gender Responsive: Mainstream a gender perspective and promotes gender equality and the empowerment of all women and girls, recognizing their independence, agency and leadership in order to move away from addressing migrant women primarily through a lens of victimhood.*
- *Child-sensitive. Uphold the principle of the best interests of the child at all times, as a primary consideration in all situations concerning children in the context of international migration, including unaccompanied and separated children.*

## **7. Programme Management and Coordination**

- *Summarise the proposed joint programme management and coordination mechanism.*
- *How will the joint programme ensure national ownership, and coordination among PUNOs and other stakeholders and implementing partners?*
- *Is there an existing country-level Migration Network, or similar migration coordination mechanism? If yes, what will be the role of the existing mechanism in the coordination of the joint programme?*

## **8. Budget**

- *Please provide an indicative breakdown by PUNO (note the minimum amount per agency is US\$100,000)*
- *Indicate the % of the budget to be allocated to gender equality and women's empowerment.*
- *Indicate, if applicable, the amount and source/s of cost sharing.*



## SIGNATURE PAGE







*This template should first be adjusted depending on who the partners are (and if they are confirmed).*


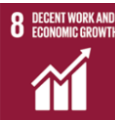

<b>Title of the proposed joint programme</b>	
<b>Country(ies)/ Region (or indicate if a global initiative)</b>	
<b>Proposed funding request (in USD)</b>	
<i>Please confirm that the joint programme proposal has the support from and ownership by the national government(s)</i>	Yes / No (if no, please provide an explanation)
<i>Please confirm that if selected, the PUNO(s) will develop the full proposal within 3 months of notification.</i>	Yes / No (if no, please provide an explanation)

<b>Resident Coordinator<sup>10</sup></b>	Signature:
Name:	Date:
<b>Convening UN Organization:</b>	Signature:
Name and title:	Date:
<b>PUNO:</b>	Signature:
Name and title:	Date:
<b>PUNO:</b>	Signature:
Name and title:	Date:


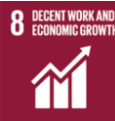



<sup>10</sup> Not applicable for regional projects or global projects.

## Annex C1: List of Global Compact Objectives per Thematic area and Key SDG Targets

Global Compact Objective	Linkages to Key Sustainable Development Goals and Targets
<b>Cross-Cutting – Applicable to all Thematic Areas:</b>	
<p><b>Obj 23:</b> Strengthen international cooperation and global partnerships for safe, orderly and regular migration</p> <p><i>Note: Objective 23 on international cooperation is incorporated in each thematic area to signify that all thematic areas can also support regional and global projects.</i></p>	<p> <b>10.7:</b> Facilitate orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies</p> <p> <b>17.16:</b> Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the sustainable development goals in all countries, in particular developing countries</p>
<b>Thematic Area 1: Promoting fact-based and data-driven migration discourse, policy and planning</b>	
<p><b>Obj 1:</b> Collect and utilize accurate and disaggregated data as a basis for evidence-based policies</p> <p><b>Obj 3:</b> Provide adequate and timely information at all stages of migration</p> <p><b>Obj 17:</b> Eliminate all forms of discrimination and promote evidence-based public discourse to shape perceptions of migration</p>	<p> <b>16.B:</b> Promote and enforce non-discriminatory laws and policies for sustainable development</p> <p> <b>17.18</b> By 2020, enhance capacity-building support to developing countries, including for least developed countries and small island developing States, to increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts</p>
<b>Thematic Area 2: Protecting the human rights, safety and wellbeing of migrants, including through addressing drivers and mitigating situations of vulnerability in migration</b>	
<p><b>Obj 2:</b> Minimize the adverse drivers and structural factors that compel people to leave their country of origin</p> <p><b>Obj 7:</b> Address and reduce vulnerabilities in migration</p>	<p> <b>1.5:</b> By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters</p> <p> <b>3.D:</b> Strengthen the capacity of all countries, in particular developing countries, for early warning, risk reduction and management of national and global health risks</p>

<p><b>Obj 8:</b> Save lives and establish coordinated international efforts on missing migrants</p>		<p><b>5.2:</b> Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation</p>
<p><b>Obj 12:</b> Strengthen certainty and predictability in migration procedures for appropriate screening, assessment and referral</p>		<p><b>8.7:</b> 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</p>
<p><b>Obj 13:</b> Use migration detention only as a measure of last resort and work towards alternatives</p>		<p><b>8.8:</b> Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment</p> <p><b>16.1:</b> Significantly reduce all forms of violence and related death rates everywhere</p> <p><b>16.2:</b> End abuse, exploitation, trafficking and all forms of violence against and torture of children</p> <p><b>16.3:</b> Promote the rule of law at the national and international levels and ensure equal access to justice for all.</p>

**Thematic Area 3: Addressing irregular migration including through managing borders and combatting transnational crime**

<p><b>Obj 9:</b> Strengthen the transnational response to smuggling of migrants</p>		<p><b>5.2:</b> Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation</p>
<p><b>Obj 10:</b> Prevent, combat and eradicate trafficking in persons in the context of international migration</p>		<p><b>8.7:</b> 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</p>
<p><b>Obj 11:</b> Manage borders in an integrated, secure and coordinated manner</p>		<p><b>16.2:</b> End abuse, exploitation, trafficking and all forms of violence against and torture of children</p>
<p><b>Obj 14:</b> Enhance consular protection, assistance and cooperation throughout the migration cycle</p>		<p><b>16.3:</b> Promote the rule of law at the national and international levels and ensure equal access to justice for all</p>
<p><b>Obj 21:</b> Cooperate in facilitating safe and dignified return and readmission, as well as sustainable reintegration</p>		<p><b>16.4:</b> By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime</p> <p><b>16.6:</b> Develop effective, accountable and transparent institutions at all levels</p>

**Thematic Area 4: Facilitating regular migration, decent work and enhancing the positive development effects of human mobility**

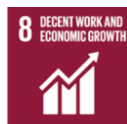
**Obj 5:** Enhance availability and flexibility of pathways for regular migration

**Obj 6:** Facilitate fair and ethical recruitment and safeguard conditions that ensure decent work

**Obj 18:** Invest in skills development and facilitate mutual recognition of skills, qualifications and competences

**Obj 19:** Create conditions for migrants and diasporas to fully contribute to sustainable development in all countries

**Obj 20:** Promote faster, safer and cheaper transfer of remittances and foster financial inclusion of migrants



**1.4:** By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

**3.C:** Substantially increase health financing and the recruitment, development, training and retention of the health workforce in developing countries, especially in least developed countries and small island developing States

**4.4:** By 2030, substantially increase the number of youth and adults who have relevant skills, including technical and vocational skills, for employment, decent jobs and entrepreneurship

**5.2:** Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation

**5.4:** Recognize and value unpaid care and domestic work through the provision of public services, infrastructure and social protection policies and the promotion of shared responsibility within the household and the family as nationally appropriate

**8.5:** By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value

**8.6:** By 2020, substantially reduce the proportion of youth not in employment, education or training

**8.8:** Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment

**10.C:** By 2030, reduce to less than 3 per cent the transaction costs of migrant remittances and eliminate remittance corridors with costs higher than 5 per cent

**17.3:** Mobilize additional financial resources for developing countries from multiple sources

## Thematic Area 5: Improving the social inclusion and integration of migrants

**Obj 4:** Ensure that all migrants have proof of legal identity and adequate documentation

**Obj 15:** Provide access to basic services for migrants

**Obj 16:** Empower migrants and societies to realize full inclusion and social cohesion

**Obj 22:** Establish mechanisms for the portability of social security entitlements and earned benefits



**1.3:** Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

**1.4:** By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

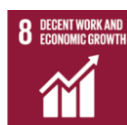


**3.7:** By 2030, ensure universal access to sexual and reproductive health-care services, including for family planning, information and education, and the integration of reproductive health into national strategies and programmes

**3.8:** Achieve universal health coverage, including financial risk protection, access to quality essential health-care services and access to safe, effective, quality and affordable essential medicines and vaccines for all



**4.1:** By 2030, ensure that all girls and boys complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes



**8.5:** By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value

**8.6:** By 2020, substantially reduce the proportion of youth not in employment, education or training



**10.2:** By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status

**10.4:** Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality



**11.1:** By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums



**16.7:** Ensure responsive, inclusive, participatory and representative decision-making at all levels

**16.9:** By 2030, provide legal identity for all, including birth registration

**16.B:** Promote and enforce non-discriminatory laws and policies for sustainable development

## Annex D: Joint Programme Document Template

# Migration MPTF JOINT PROGRAMME DOCUMENT

- All submissions should be in the English language.
- In all narrative inputs, please use “Calibri” font size 11 (apply “Normal” style)
- Please delete the instructions (in blue) in the final submission

PROJECT INFORMATION	
<b>Joint Programme Title:</b>	
<b>Country(ies)/ Region (or indicate if a global initiative):</b>	
<b>Convening UN Organization:</b>	
<b>PUNO(s):</b>	
<b>Implementing Partners</b>	<i>List key governmental and non-governmental partners</i>
<b>Migration MPTF Thematic Area</b> <i>(select one and delete others)</i>	<input type="checkbox"/> Thematic Area 1: Promoting fact-based and data-driven migration discourse, policy and planning <input type="checkbox"/> Thematic Area 2: Protecting the human rights, safety and wellbeing of migrants, including through addressing drivers and mitigating situations of vulnerability in migration <input type="checkbox"/> Thematic Area 3: Addressing irregular migration including through managing borders and combatting transnational crime <input type="checkbox"/> Thematic Area 4: Facilitating regular migration, decent work and enhancing the positive development effects of human mobility <input type="checkbox"/> Thematic Area 5: Improving the social inclusion and integration of migrants
<b>Primary GCM objectives</b>	<i>List key GCM objectives to which the joint programme contributes</i>
<b>Relevant SDG Target<sup>11</sup></b>	<i>List up to three SDG targets to which the joint programme contributes.</i>
<b>Expected Project Commencement Date<sup>12</sup></b> <b>Period of Implementation</b> <b>(in months):</b>	
<b>Requested Budget:</b> <i>Indicate total budget, and budget per PUNO</i>	
<b>Project Description</b> <i>(Max 400 characters, including blank space)</i>	

<sup>11</sup> Please refer to Annex D5: List of Global Compact Objectives per Thematic area and Key SDG Targets.

<sup>12</sup> Note: actual commencement date will be the date of first funds transfer.

Marker Questions <sup>13</sup>	
<p><b>Human Rights Marker Score (A, B, C or N/A if none applies)</b></p> <p>Which of the following human rights marker applies to your proposal?</p> <p><b>A:</b> The Human Rights Marker has largely been achieved</p> <p><b>B:</b> The Human Rights Marker shows significant integration of human rights in the joint programme but some challenges remain.</p> <p><b>C:</b> The Human Rights Marker shows a very partial integration of human rights in the joint programme</p> <p><i>Please refer to the Migration MPTF Human Rights Marker Guidance Note, Annex: Self-Assessment Matrix</i></p>	
<p><b>Gender Marker Score (A, B, C or N/A if none applies)</b></p> <p>Which of the following gender marker applies to your proposal?</p> <p><b>A:</b> Projects that have gender equality and women’s empowerment (GEWE) as the primary objective</p> <p><b>B:</b> Projects that significantly contribute to gender equality and women’s empowerment (GEWE)</p> <p><b>C:</b> Projects that make a marginal contribution to gender equality and women’s empowerment (GEWE), but not significantly</p> <p><b>N/A:</b> Projects that are not expected to make a noticeable contribution to advancing gender equality and/ or the women’s empowerment (GEWE)</p> <p><i>Please refer to the Migration MPTF Gender Marker Guidance Note</i></p>	
<p><b>Child Sensitivity Marker Score (A, B, C or N/A if none applies)</b></p> <p>Which of the following child sensitivity marker applies to your proposal?</p> <p>A) Upholding the rights and addressing the needs of boys and girls under 18 is the primary or principal objective</p> <p>B) Will make a significant contribution towards upholding the rights and addressing the needs of boys and girls under 18</p> <p>C) Will contribute in some way to upholding the rights and addressing the needs of boys and girls under 18</p>	

<sup>13</sup> Please refer to the Migration MPTF Guidance Notes on the Human Rights Marker and Gender Marker, available in Annexes H and I, Migration MPTF Operations Manual.

## SIGNATURE PAGE

<b>UN Resident Coordinator<sup>14</sup></b>	<b>Representative of the National Authority<sup>15</sup></b>
<i>Country</i>	<i>Name of institution</i>
<i>Name</i>	<i>Name of representative</i>
<i>Date</i>	<i>Date</i>
<i>Signature</i>	<i>Signature and seal</i>

<b>PUNOs (PUNO)</b>	
<i>Name of Convening UN Organization</i>	<i>Name of PUNO</i>
<i>Name of Representative</i>	<i>Name of Representative</i>
<i>Date</i>	<i>Date</i>
<i>Signature</i>	<i>Signature</i>
<i>Name of PUNO</i>	<i>Name of PUNO</i>
<i>Name of Representative</i>	<i>Name of Representative</i>
<i>Date</i>	<i>Date</i>
<i>Signature</i>	<i>Signature</i>

<b>Chair of the Migration MPTF Steering Committee</b>
<i>Name</i>
<i>Date</i>
<i>Signature</i>

<sup>14</sup> Not applicable for regional or global initiatives.

<sup>15</sup> Not applicable for regional or global initiatives. For regional initiatives, please provide signature from the relevant regional entity partner (e.g. Regional Economic Commission)



## JOINT PROGRAMME PROPOSAL NARRATIVE

### 1. Migration Context and Rationale

(2 pages max)

**1a) The Migration Context and Needs Analysis:** Summarize the migration context and dynamics as they relate to the proposal, focusing on the thematic areas and issues that the joint programme aims to address; Describe the core problems to be addressed, with focus on the needs of migrants and migration affected communities; and describe the consultative process leading to the identification of the issues and the proposed initiative. The consultative process should include migrants and/or migration affected communities. All analysis must be gender- and age-sensitive

**1b) Complementarity and Additionality:** Provide a mapping of key stakeholders and existing initiatives, and indicate how the joint programme is complementary, necessary (without the joint programme, the results will not be achieved) and timely.

**1c) Linkages to relevant national (or regional) strategic priorities:** Indicate linkages to the UN Sustainable Development Cooperation Framework (UNSDCF) or UN Development Assistance Framework (UNDAF), as well as other relevant national and regional strategies and frameworks.

**1d) Alignment to the GCM, SDGs and Relevant Frameworks:** Describe how the joint programme aligns with/ supports the GCM objectives, SDGs and relevant existing Governmental and UN strategic frameworks. The description should include an analysis on how the joint programme will ensure national ownership and sustainability, and how it complements/ builds on any other relevant interventions in this area.

### 2. Results Framework and Theory of Change

(2 pages max plus Results Framework in Annex D1)

**2a) Results Framework:** Indicate the overall objective of the joint programme and articulate how the joint programme aims to address the migration issues outlined previously, and how the expected results will bring about changes for the beneficiaries (must be gender- and age- sensitive). In the narrative section, provide a short summary of the main components of the joint programme (per outcome area) and expected results to be achieved. In Annex D1, provide a comprehensive Results Framework outlining all joint programme results/outcomes, outputs and activities with corresponding indicators, baselines and targets (must be gender- and age- sensitive).

**2b) Theory of change:** Illustrate how and why a desired change is expected to happen in the context outlined above. Focus on articulating the 'hypotheses' explaining why it is thought that the implementation of the joint programme activities will lead to the desired results (e.g. outputs and outcomes). Specify if there are significant risks or key assumptions related to the achievement of the desired results.

### 3. Project Implementation Strategy

(2 pages max)

**3a) Joint Programme Implementation Strategy:** Explain how the joint programme will undertake the activities to ensure most effective and efficient achievement of results, including justification for geographic zones, criteria for beneficiary selection, timing among various activities, coherence between results and any other information on implementation approach (must be gender- and age-sensitive). There is no need to repeat all outputs and activities from the Result Framework.

**3b) Cross-Cutting Principles:** Elaborate on how the following cross-cutting principles of human rights, gender-responsive and child sensitive approach, will be mainstreamed, and how this will contribute to overall results of the joint programme.

#### **4. Partnerships**

(2 pages max)

**4a) Stakeholder Mapping:** Map all relevant stakeholders / stakeholder groups and briefly explain their expertise and engagement in the area addressed by the joint programme. Ensure to include migrants and migration affected communities in the mapping and analysis.

**4b) Partnerships:** Explain and justify: i) role of the Government(s); ii) strategic contributions from local government(s) and civil society if applicable; and iii) the ways in which other stakeholders (in particular, migrants and migration affected communities) will be involved, including methods for participatory dialogue, co-design, and co-delivery. Please note that the joint programme should take a people-centered, whole-of-government and whole-of-society approach.<sup>16</sup>

#### **5. Innovation and Sustainability**

(2 pages max)

**5a) Innovation:** Indicate the innovative approach of the joint programme, as well as catalytic potential (e.g. multiplier effect, scaling/replication potential, leveraging additional financing). Describe how the envisioned lessons learned from the joint programme will be used for future interventions.

**5b) Sustainability:** Elaborate how the joint programme will ensure sustainability of results after its end. Explain the project's exit strategy, including any plans to seek follow-up funding. If support from other donors is expected, explain what the joint programme will do to try to ensure this support from the start.

#### **6. Project Management and Coordination**

(2 pages max)

**6a) PUNOs (PUNOs) and Implementing Partners:** List all PUNOs and their implementing partners if any, specifying the Convening UN Organization, which will coordinate the joint programme. Provide a brief justification for the choices, based on mandate, experience, local know-how and existing capacity.

**6b) Joint Programme Management and Coordination:** Explain the joint programme coordination and oversight arrangements, taking into consideration the importance of ensuring national ownership. Indicate if there is a country-level Migration Network, or similar migration coordination mechanism.

**6c) Risk Management:** Identify potential risks for the joint programme's success and assess its likelihood and impact. Provide a list of major project specific risks and how they will be managed, including the approach to updating risks and making adjustments. Please use the Risk Management Plan in Annex D2 to identify, assess and plan for mitigation of the risks.

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<sup>16</sup> Please reference the Guiding Principles of the Global Compact for Safe, Orderly and Regular Migration.

**6d) Joint programme Monitoring:** Indicate how the joint programme will be monitored in respect to operations, results, risks and budget. Indicate any risks (e.g. data availability, remote monitoring, etc.) and corresponding mitigation plans.

**6e) Evaluation:** Indicate the objective, timing and intended use of joint programme evaluations. The Migration MPTF requires, at the minimum, an end-of-project/summative joint programme evaluation to assess the degree to which the project met its objectives, with particular emphasis on the criteria of relevance, efficiency, effectiveness, impact and sustainability.<sup>17</sup> In line with the Migration MPTF TOR, a minimum of 3% needs to be set aside for joint programme monitoring and evaluation.

## **7. Project Budget and Workplan**

*(2 pages max)*

**7a) Budget:** Please provide a brief justification for the proposed budget, highlighting any specific choices that have underpinned the budget preparation, especially for personnel, travel or other indirect project support, to demonstrate value for money for the project. Please note that the proposed budget must include funds for an independent end-of-project summative evaluation.

*In addition, please indicate the % of the total budget to be allocated to gender equality and women's empowerment, and provide a brief description of the main provisions made for this purpose.*

*If applicable, indicate the amount and source/s of cost sharing.*

*Using the tables provided in Annex D3, provide a budget breakdown by outcome/output/activity as well as by UNDG budget category.*

**b) Workplan:** Using the table provided in Annex D4, complete a basic workplan.

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<sup>17</sup> Reference: UN Evaluation Group, 'Norms and Standards for Evaluation' 2017.  
See <http://www.uneval.org/document/detail/1914>

## Annex D1: Results Framework

RESULTS	INDICATORS	Data Source and Collection Method	Baseline	Targets	ASSUMPTIONS
<b>Overall Objective Statement:</b>					
<b>Outcome 1</b>	Outcome Indicator 1a				
	Outcome Indicator 1b				
<b>Output 1.1</b>	Output Indicator 1.1a				
	Output Indicator 1.1b				
<i>List activities under Output 1.1</i>					
1.1.1					
1.1.2					
1.1.3					
<b>Output 1.2</b>	Output Indicator 1.2a				
	Output Indicator 1.2b				
<i>List activities under Output 1.2</i>					
1.2.1					
1.2.2					
1.2.3					
<b>Outcome 2</b>	Outcome Indicator 2a				
	Outcome Indicator 2b				

<b>Output 2.1</b>	Output Indicator 2.1a				
	Output Indicator 2.1b				
<i>List activities under Output 2.1</i>					
2.1.1					
2.1.2					
2.1.3					
<b>Output 2.2</b>	Output Indicator 2.2a				
	Output Indicator 2.2b				
<i>List activities under Output 2.2</i>					
2.2.1					
2.2.2					
2.2.3					

*Note: Use the same numbering and formatting for any additional outcomes, outputs, activities*

**REFERENCE: Definition of Key Terms (Reference: UNDG Results Based Management Handbook 2012 <sup>18</sup>)**

**Results based management (RBM):** A management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the desired results (outputs, outcomes, overall objective) and use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting.

**Results:** Changes in a state or condition that derive from a cause-and-effect relationship. There are three types of such changes - outputs, outcomes and impact - that can be set in motion by a development intervention. The changes can be intended or unintended, positive and/ or negative.

<sup>18</sup> See: <https://undg.org/wp-content/uploads/2016/10/UNDG-RBM-Handbook-2012.pdf>

**Results chain**

The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired results – beginning with inputs, moving through activities and outputs, and culminating in individual outcomes and those that influence outcomes for the community, goal/impacts and feedback. It is based on a theory of change, including underlying assumptions.

**Impact**

Impact implies changes in people’s lives. This might include changes in knowledge, skill, behaviour, health or living conditions for children, adults, families or communities. Such changes are positive or negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types. Positive impacts should have some relationship to the Millennium Development Goals (MDGs)<sup>19</sup>, internationally-agreed development goals, national development goals (as well as human rights as enshrined in constitutions), and national commitments to international conventions and treaties.

**Goal (same as Overall Objective)**

A specific end result desired or expected to occur as a consequence, at least in part, of an intervention or activity. It is the higher order objective that will assure national capacity building to which a development intervention is intended to contribute.

**Outcome**

Outcomes represent changes in the institutional and behavioral capacities for development conditions that occur between the completion of outputs and the achievement of goals.

**Outputs**

Outputs are changes in skills or abilities and capacities of individuals or institutions, or the availability of new products and services that result from the completion of activities within a development intervention within the control of the organization. They are achieved with the resources provided and within the time period specified.

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<sup>19</sup> Please note that the MDGs should be replaced with the Sustainable Development Goals (SDGs).

## Annex D2: Risk Management Plan

The Risk Management Plan should identify potential risks, assess their impact and likelihood, and design mitigation measures. The Risk Level is a number derived by multiplying the Likelihood and the Impact numbers. The Plan must be monitored on a regular basis, with provisions for review and revisions as necessary. Please complete the table below, referencing the photo below to determine the likelihood, impact and risk level.

Risks	Risk Level (Number: Likelihood times Impact)	Likelihood Certain: 5 Likely: 4 Possible: 3 Unlikely: 2 Rare: 1	Impact Essential: 5 Major: 4 Moderate: 3 Minor: 2 Insignificant: 1	Mitigation measures	Responsible PUNO
i)					
ii)					
iii)					
iv)					
v)					
vi)					

Note: Please use the descriptions given below as a general guidance on risk level, likelihood and impact:

LIKELIHOOD	Occurrence	Frequency
<b>5: Very Likely</b>	The event is expected to occur in most circumstances	Twice a month or more frequently
<b>4: Likely</b>	The event will probably occur in most circumstances	Once every two months or more frequently
<b>3: Possibly</b>	The event might occur at some time	Once a year or more frequently
<b>2: Unlikely</b>	The event could occur at some time	Once every three years or more frequently
<b>1: Rare</b>	The event may occur in exceptional circumstances	Over every seven years or more frequently

IMPACT	Result
<b>5: Essential</b>	An event leading to massive or irreparable damage or disruption
<b>4: Major</b>	An event leading to critical damage or disruption
<b>3: Moderate</b>	An event leading to serious damage or disruption
<b>2: Minor</b>	An event leading to some degree of damage or disruption
<b>1: Insignificant</b>	An event leading to limited damage or disruption

	IMPACT				
LIKELIHOOD	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Extreme (5)
Very Likely ((5)	Medium (5)	High (19)	High (15)	Very High (20)	Very High (25)
Likely (4)	Medium (4)	Medium (8)	High (12)	High (16)	Very High (20)
Possible (3)	Low (3)	Medium (6)	High (9)	High (12)	High (15)
Unlikely (2)	Low (2)	Low (4)	Medium (6)	Medium (8)	High (10)
Rare (1)	Low (1)	Low (3)	Medium (3)	Medium (4)	High (5)

Level of Risk	Results
<b>Very High</b>	Immediate action required by executive management. Mitigation activities/treatment options are mandatory to reduce likelihood and/or impact. Risk cannot be accepted unless this occurs.
<b>High</b>	Immediate action required by senior/executive management. Mitigation activities/treatment options are mandatory to reduce likelihood and/or impact. Monitoring strategy to be implemented by Risk Owner.
<b>Medium</b>	Senior Management attention required. Mitigation activities/treatment options are undertaken to reduce likelihood and/or impact. Monitoring strategy to be implemented by Risk Owner.
<b>Low</b>	Management attention required. Mitigation activities/treatment options are recommended to reduce likelihood and/or impact. Implementation of monitoring strategy by risk owner is recommended.



## Annex D3a: Budget Template – Results Based Budget

### Migration MPTF: Joint Programme Budget (Results-Based Budget)

**NOTES:**

- 1) Please use the Migration MPTF excel file (formulas included).
- 2) Please insert a new "PUNO" column for each PUNO. If this is a multi-country programme, please ensure to have separate columns for each office - e.g. PUNO 1 (name of country); PUNO 1 (name of country), etc.
- 3) Please insert or delete activity/output/outcome lines as needed to match the joint programme
- 4) For a budget revision, keep original budget columns and insert extra columns for the proposed revision

	Outcome/ output/ activity formulation:	PUNO 1 Budget by recipient organization	PUNO 2 Budget by recipient organization	PUNO 3 Budget by recipient organization	PUNO 4 Budget by recipient organization	TOTAL (all PUNOs)	Budget amount reserved for gender equality and women's empowerment (GEWE) (indicative)
<b>PROGRAMMATIC BUDGET</b>							
<b>OUTCOME 1:</b>							
<b>Output 1.1:</b>		\$	\$	\$	\$	\$	\$
Activity 1.1.1:						\$	\$
Activity 1.1.2:						\$	\$
Activity 1.1.3:						\$	\$
<b>Output 1.2:</b>		\$	\$	\$	\$	\$	\$
Activity 1.2.1:						\$	\$
Activity 1.2.2:						\$	\$
Activity 1.2.3:						\$	\$
<b>Output 1.3:</b>		\$	\$	\$	\$	\$	\$

Activity 1.3.1:						\$	\$
Activity 1.3.2:						\$	\$
Activity 1.3.3:						\$	\$
<b>Total for Outcome 1 (Outputs 1.1 + 1.2 + 1.3...etc.)</b>		\$	\$	\$	\$	\$	\$
<b>OUTCOME 2:</b>							
<b>Output 2.1:</b>		\$	\$	\$	\$	\$	\$
Activity 2.1.1:						\$	\$
Activity 2.1.2:						\$	\$
Activity 2.1.3:						\$	\$
<b>Output 2.2:</b>		\$	\$	\$	\$	\$	\$
Activity 2.2.1:						\$	\$
Activity 2.2.2:						\$	\$
Activity 2.2.3:						\$	\$
<b>Output 2.3:</b>		\$	\$	\$	\$	\$	\$
Activity 2.3.1:						\$	\$
Activity 2.3.2:						\$	\$
Activity 2.3.3:						\$	\$
<b>Total for Outcome 2 (Outputs 2.1 + 2.2 + 2.3...etc.)</b>		\$	\$	\$	\$	\$	\$
<b>OUTCOME 3:</b>							
<b>Output 3.1:</b>		\$	\$	\$	\$	\$	\$
Activity 3.1.1:						\$	\$
Activity 3.1.2:						\$	\$
Activity 3.1.3:						\$	\$
<b>Output 3.2:</b>		\$	\$	\$	\$	\$	\$
Activity 3.2.1:						\$	\$
Activity 3.2.2:						\$	\$

Activity 3.2.3:						\$	\$
<b>Output 3.3:</b>		\$	\$	\$	\$	\$	\$
Activity 3.3.1:						\$	\$
Activity 3.3.2:						\$	\$
Activity 3.3.3:						\$	\$
<b>Total for Outcome 3 (Outputs 3.1 + 3.2 + 3.3...etc.)</b>		\$	\$	\$	\$	\$	\$
<b>TOTAL PROGRAMMATIC BUDGET: (Outcomes 1 + 2 + 3...)</b>		\$	\$	\$	\$	\$	\$
<b>PERSONNEL, OPERATIONAL, M&amp;E BUDGET</b>							
Personnel costs if not included in activities above <i>Note: The FMU may require further information on the breakdown of this budget line</i>		\$	\$	\$	\$	\$	\$
Operational costs if not included in activities above		\$	\$	\$	\$	\$	\$
Monitoring and evaluation (must include provision for final independent evaluation) - minimum 3% of total budget		\$	\$	\$	\$	\$	\$
<b>TOTAL PERSONNEL, OPERATIONAL, M&amp;E BUDGET:</b>		\$	\$	\$	\$	\$	\$

<b>SUB-TOTAL PROJECT BUDGET: (Programmatic + Personnel, Operational and M&amp;E)</b>	\$	\$	\$	\$	\$	\$
Indirect support costs (7%):	\$	\$	\$	\$	\$	\$
<b>TOTAL PROJECT BUDGET:</b>	\$	\$	\$	\$	\$	\$

<b>GENDER BUDGET: % of total budget reserved for GEWE (indicative)</b> <i>Please calculate Total budget reserved for GEWE divided by Total Project Budget (%)</i>	%
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## Annex D3b: Budget Template – UNDG Budget Categories

### Migration MPTF: Joint Programme Budget (by UNDG budget categories)

**NOTES:**

- 1) Please use the Migration MPTF excel file (formulas included)
- 2) Please insert a new "PUNO" column for each PUNO. If this is a multi-country programme, please ensure to have separate columns for each office - e.g. PUNO 1 (name of country); PUNO 1 (name of country), etc.
- 3) For a budget revision, keep original budget columns and insert extra columns for the proposed revision

CATEGORIES	PUNO 1	PUNO 2	PUNO 3	PUNO 4	JOINT PROGRAMME TOTAL
1. Staff and other personnel					
2. Supplies, Commodities, Materials					
3. Equipment, Vehicles, and Furniture (including Depreciation)					
4. Contractual services					
5. Travel					
6. Transfers and Grants to Counterparts					
7. General Operating and other Direct Costs					
<b>Sub-Total Project Costs</b>					
8. Indirect Support Costs (must be 7%)					
<b>TOTAL</b>					
<b>First Tranche (70%)</b>					
<b>Second Tranche (30%)</b>					

**Annex D4: Workplan**

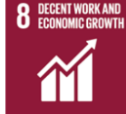

Activities	Responsible Party	Timeframe											
		Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4

*Instructions:*


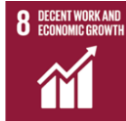

- *Put an x in the quarter where activities are expected to be implemented.*
- *Please reference the activities # from the Results Framework in a parenthesis, as applicable.*

## Annex D5: List of Global Compact Objectives per Thematic area and Key SDG Targets

Global Compact Objective	Linkages to Key Sustainable Development Goals and Targets	
<b>Cross-Cutting – Applicable to all Thematic Areas:</b>		
<p><b>Obj 23:</b> Strengthen international cooperation and global partnerships for safe, orderly and regular migration</p> <p><i>Note: Objective 23 on international cooperation is incorporated in each thematic area to signify that all thematic areas can also support regional and global projects.</i></p>	  	<p><b>10.7:</b> Facilitate orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies</p> <p><b>17.16:</b> Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the sustainable development goals in all countries, in particular developing countries</p>
<b>Thematic Area 1: Promoting fact-based and data-driven migration discourse, policy and planning</b>		
<p><b>Obj 1:</b> Collect and utilize accurate and disaggregated data as a basis for evidence-based policies</p> <p><b>Obj 3:</b> Provide adequate and timely information at all stages of migration</p> <p><b>Obj 17:</b> Eliminate all forms of discrimination and promote evidence-based public discourse to shape perceptions of migration</p>	  	<p><b>16.B:</b> Promote and enforce non-discriminatory laws and policies for sustainable development</p> <p><b>17.18</b> By 2020, enhance capacity-building support to developing countries, including for least developed countries and small island developing States, to increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts</p>
<b>Thematic Area 2: Protecting the human rights, safety and wellbeing of migrants, including through addressing drivers and mitigating situations of vulnerability in migration</b>		
<p><b>Obj 2:</b> Minimize the adverse drivers and structural factors that compel people to leave their country of origin</p> <p><b>Obj 7:</b> Address and reduce vulnerabilities in migration</p> <p><b>Obj 8:</b> Save lives and establish coordinated international efforts on missing migrants</p>	    	<p><b>1.5:</b> By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters</p> <p><b>3.D:</b> Strengthen the capacity of all countries, in particular developing countries, for early warning, risk reduction and management of national and global health risks</p> <p><b>5.2:</b> Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation</p>

<p><b>Obj 12:</b> Strengthen certainty and predictability in migration procedures for appropriate screening, assessment and referral</p>		<p><b>8.7:</b> 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</p>
<p><b>Obj 13:</b> Use migration detention only as a measure of last resort and work towards alternatives</p>		<p><b>8.8:</b> Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment</p>
		<p><b>16.1:</b> Significantly reduce all forms of violence and related death rates everywhere</p>
		<p><b>16.2:</b> End abuse, exploitation, trafficking and all forms of violence against and torture of children</p>
		<p><b>16.3:</b> Promote the rule of law at the national and international levels and ensure equal access to justice for all.</p>

**Thematic Area 3: Addressing irregular migration including through managing borders and combatting transnational crime**

<p><b>Obj 9:</b> Strengthen the transnational response to smuggling of migrants</p>		<p><b>5.2:</b> Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation</p>
<p><b>Obj 10:</b> Prevent, combat and eradicate trafficking in persons in the context of international migration</p>		<p><b>8.7:</b> 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</p>
<p><b>Obj 11:</b> Manage borders in an integrated, secure and coordinated manner</p>		<p><b>16.2:</b> End abuse, exploitation, trafficking and all forms of violence against and torture of children</p>
<p><b>Obj 14:</b> Enhance consular protection, assistance and cooperation throughout the migration cycle</p>		<p><b>16.3:</b> Promote the rule of law at the national and international levels and ensure equal access to justice for all</p>
<p><b>Obj 21:</b> Cooperate in facilitating safe and dignified return and readmission, as well as sustainable reintegration</p>		<p><b>16.4:</b> By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime</p>
		<p><b>16.6:</b> Develop effective, accountable and transparent institutions at all levels</p>



**Thematic Area 4: Facilitating regular migration, decent work and enhancing the positive development effects of human mobility**

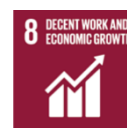
**Obj 5:** Enhance availability and flexibility of pathways for regular migration

**Obj 6:** Facilitate fair and ethical recruitment and safeguard conditions that ensure decent work

**Obj 18:** Invest in skills development and facilitate mutual recognition of skills, qualifications and competences

**Obj 19:** Create conditions for migrants and diasporas to fully contribute to sustainable development in all countries

**Obj 20:** Promote faster, safer and cheaper transfer of remittances and foster financial inclusion of migrants



**1.4:** By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

**3.C:** Substantially increase health financing and the recruitment, development, training and retention of the health workforce in developing countries, especially in least developed countries and small island developing States

**4.4:** By 2030, substantially increase the number of youth and adults who have relevant skills, including technical and vocational skills, for employment, decent jobs and entrepreneurship

**5.2:** Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation

**5.4:** Recognize and value unpaid care and domestic work through the provision of public services, infrastructure and social protection policies and the promotion of shared responsibility within the household and the family as nationally appropriate

**8.5:** By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value

**8.6:** By 2020, substantially reduce the proportion of youth not in employment, education or training

**8.8:** Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment

**10.C:** By 2030, reduce to less than 3 per cent the transaction costs of migrant remittances and eliminate remittance corridors with costs higher than 5 per cent

**17.3:** Mobilize additional financial resources for developing countries from multiple sources

## Thematic Area 5: Improving the social inclusion and integration of migrants

**Obj 4:** Ensure that all migrants have proof of legal identity and adequate documentation

**Obj 15:** Provide access to basic services for migrants

**Obj 16:** Empower migrants and societies to realize full inclusion and social cohesion

**Obj 22:** Establish mechanisms for the portability of social security entitlements and earned benefits



**1.3:** Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

**1.4:** By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance



**3.7:** By 2030, ensure universal access to sexual and reproductive health-care services, including for family planning, information and education, and the integration of reproductive health into national strategies and programmes

**3.8:** Achieve universal health coverage, including financial risk protection, access to quality essential health-care services and access to safe, effective, quality and affordable essential medicines and vaccines for all



**4.1:** By 2030, ensure that all girls and boys complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes



**8.5:** By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value

**8.6:** By 2020, substantially reduce the proportion of youth not in employment, education or training



**10.2:** By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status

**10.4:** Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality



**11.1:** By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums



**16.7:** Ensure responsive, inclusive, participatory and representative decision-making at all levels

**16.9:** By 2030, provide legal identity for all, including birth registration

**16.B:** Promote and enforce non-discriminatory laws and policies for sustainable development

## Annex E: Joint Programme Revision Template

# Migration MPTF JOINT PROGRAMME REVISION

- All submissions should be in the English language.
- In all narrative inputs, please use “Calibri” font size 11 (apply “Normal” style)
- Please delete the instructions (in blue) in the final submission
- Please attach to this form a “clean” revised version of the Joint Programme Document (new signatures are required) as well as a “track-changes” version where all the changes made to the original joint programme document and its annexes are clearly visible.

PROJECT INFORMATION	
<b>Joint Programme Title:</b>	
<b>Country(ies)/Region (or global initiative):</b>	
<b>Project Identification Number:</b>	
<b>Convening UN Organization:</b>	
<b>PUNO(s) (PUNOs):</b>	

NATURE OF THE AMENDMENT REQUESTED (select all changes that apply)		
<b>Change of programme outcome/scope</b>	<input type="checkbox"/>	
<b>Change of budget allocation</b>	<input type="checkbox"/>	<i>(required only if changes between outcomes or budget categories exceed 20%)</i>
<b>Additional funding request</b>	<input type="checkbox"/>	<i>Indicate additional amount requested by PUNO</i>
<b>Extension request</b>	<input type="checkbox"/>	<i>Indicate additional duration</i>
<b>Addition of PUNO</b>	<input type="checkbox"/>	<i>Indicate additional PUNO</i>
JUSTIFICATION		
<i>Please provide a brief justification for the changes requested (400 words max)</i>		

## Annex F: Annual / Final Progress Report Template

# Migration MPTF ANNUAL/FINAL PROGRESS REPORT

- All submissions should be in the English language.
- In all narrative inputs, please use “Calibri” font size 11 (apply “Normal” style)
- Please delete the instructions (in blue) in the final submission

PROJECT INFORMATION	
<b>Joint Programme Title:</b>	
<b>Country(ies)/Region (or indicate if a global initiative):</b>	
<b>Project Identification Number:</b>	
<b>Convening UN Organization:</b>	
<b>PUNO(s) (PUNOs):</b>	
<b>Key Partners:</b> <i>(include Implementing Partner)</i>	
<b>Project Period (Start – End Dates):</b>	
<b>Reporting Period:</b>	
<b>Total Approved Migration MPTF Budget: (breakdown by PUNO)</b>	<i>PUNO 1:</i> <i>PUNO 2:</i> <i>PUNO 3:</i> <i>Total:</i>
<b>Total Funds Received To Date:</b> <i>(breakdown by PUNO)</i>	<i>PUNO 1:</i> <i>PUNO 2:</i> <i>PUNO 3:</i> <i>Total:</i>
<b>Report Submission Date:</b>	
<b>Report Prepared by:</b> <i>(Name, title, email)</i>	

## Executive Summary

*Summarize the key results achieved during the reporting period, and any other relevant developments, including challenges. The Executive Summary should serve as a stand-alone summary of the Joint Programme's results for the reporting period.*

## Annual (or End-of Project) Progress

### 1. Summary and Context

*Provide a brief introduction to the Joint Programme and indicate whether implementation is on track. Capture any new developments that took place during the reporting period (especially those that were not anticipated/expected) that have had a bearing on the implementation of the Joint Programme, either positive or otherwise.*

### 2. Results

*In narrative format, briefly outline progress towards achieving results, by describing achievements of outputs and outcomes, as well as completion of activities.*

- *Outcomes and Outputs: Articulate level of achievement, and their respective contributions towards the Overall Objectives Statement and Outcomes;*
- *Activities: Describe progress towards completion, articulating their contributions to the outputs. Provide details for all key activities completed (e.g. workshop dates, locations, etc.) and ensure that links to all relevant documents (e.g. reports, publications, studies, etc.) are embedded in the body of the report. For those documents that are deemed significant, you may wish to include them as part of the annexes to the report.*

*Using the Results Reporting Framework below, provide updates for all Outcome and Output indicators approved under the Joint Programme that have made progress during the reporting period.*

Results Reporting Framework						
INDICATORS	Baseline	Results achieved for the reporting period (only provide data for the specified year)			Cumulative Results <i>Note: For Y1 report, this will be the same; For Y2 report, it will be Y1+Y2; and for Y3 report, it will be Y1+Y2+Y3</i>	Notes
		Y1	Y2	Y3		
<b>OUTCOME 1</b>						
Indicator 1a						
Indicator 1b						
<b>OUTPUT 1.1</b>						
Indicator 1.1a						
Indicator 1.1b						
<b>OUTPUT 1.2</b>						
Indicator 1.2a						
Indicator 1.2b						
<b>OUTCOME 2</b>						
Indicator 2a						
Indicator 2b						
<b>OUTPUT 2.1</b>						
Indicator 2.1a						
Indicator 2.1b						
<b>OUTPUT 2.2</b>						
Indicator 2.2a						
Indicator 2.2b						

### **3. Partnerships**

*Provide information on key partnerships established under the joint programme, expanding on: i) Role of the government; ii) Strategic contributions from local government and civil society if applicable; and iii) the ways in which other stakeholders (in particular, migrants and migration affected communities) are involved, including methods for participatory dialogue, co-design, and co-delivery.*

### **4. Cross-Cutting Issues**

*Elaborate on how the cross-cutting principles of human rights, gender-responsive and child sensitive approaches, have been mainstreamed, and how this contributed to overall results of the joint programme.*

### **5. Innovation, Good Practices and Lessons Learned**

*Indicate any innovative approaches taken, or catalytic potential identified (e.g. multiplier effect, scaling/replication potential, leveraging additional financing).*

*Include any information on good practices and lessons learned that have emerged and how the Joint Programme will benefit from them. If there are results from any monitoring missions, assessments and/or evaluations that took place during the reporting period, please include them here, along with details of how they have informed programme planning.*

### **6. Challenges Encountered and Measures Taken**

*Describe any significant difficulties faced, and/or implementation delays/deviations during the reporting period, and corrective measures that have been taken or are being planned to address and rectify the situation. An analysis of the impact of any assumption that was in the Results Framework which did not hold true or of any risk which was realized during the reporting period must also be included. Refer to the Risk Management Plan and Workplan that were included as part of the approved Joint Programme document.*

## **Conclusion and Next Steps**

*Assess the overall achievement of the Joint Programme and include brief information on the next steps, specifically as they relate to the next reporting period.*

*For FINAL REPORTING: Elaborate how the Joint Programme has ensured sustainability of results after its conclusion. Explain the project's exit strategy, including any follow-up funding, support from other donors, etc.*

## ANNEX

*Include the following in the Annex, as relevant:*

- **Stories from the Field:** *Provide stories (maximum 3 stories per outcome area) from the field that demonstrate the success of this Joint Programme. This could include stories from migrants, migration affected communities, government partners, and others who have participated in and benefited either directly or indirectly as a result of the Joint Programme. Each story should provide the context and background of the individual and the lead into the interaction with the joint programme, followed by the resulting success.*
- **Testimonials:** *Please include testimonials from key programme partners obtained during the reporting period. Testimonials are short, succinct quotes from individuals who have engaged with the joint programme at any level that capture their experiences in memorable ways. Please make efforts to secure testimonials from all programme partners (civil society, government, donors, media, academia, private sector, etc.) at all levels (heads of state, ministers, line officers, heads of CSOs, migrants, women and girls). Workshops, trainings, consultations, meetings, field visits, etc., should all be used as opportunities to capture testimonials at all stages of programme implementation.*
- **Communications and Visibility:** *Please include highlights of all communications and visibility efforts and initiatives supported by the joint programme during the reporting period.*
- **Key Project Deliverables:** *You may want to include in the Annex some key relevant documents (e.g. reports, publications, studies, etc.) produced by the joint programme during the reporting period*



## Annex G: Joint Programme Update Template

# Migration MPTF JOINT PROGRAMME UPDATE

*This update will not be considered as an official report and financial information will remain purely indicative and uncertified. Unlike the annual and final progress reports, the joint programme updates and the information they contain are not made publicly available.*

- All submissions should be in the English language.
- In all narrative inputs, please use “Calibri” font size 11 (apply “Normal” style)
- Please delete the instructions (in blue) in the final submission

PROJECT INFORMATION	
<b>Joint Programme Title:</b>	
<b>Country(ies)/Region (or indicate if a global initiative):</b>	
<b>Project Identification Number:</b>	
<b>Convening UN Organization:</b>	
<b>PUNO(s) (PUNOs):</b>	
<b>Key Partners:</b> <i>(include Implementing Partner)</i>	
<b>Project Period (Start – End Dates):</b>	
<b>Update as of:</b>	
<b>Total Approved Migration MPTF Budget:</b> <i>(breakdown by PUNO)</i>	<i>PUNO 1:</i> <i>PUNO 2:</i> <i>PUNO 3:</i> <i>Total:</i>
<b>Total Funds Received To Date:</b> <i>(breakdown by PUNO)</i>	<i>PUNO 1:</i> <i>PUNO 2:</i> <i>PUNO 3:</i> <i>Total:</i>
<b>Update Submission Date:</b>	
<b>Update Prepared by:</b> <i>(Name, title, email)</i>	

## Progress Summary

- *Highlight in bullet point format (and in maximum one page) the milestones reached by the Joint Programme and the key achievements to date.*
- *If applicable, flag any significant challenge or problems faced and notify in case the Joint Programme is unlikely to be completed by agreed end date or is unlikely to reach expected results.*

### Indicative financial progress

- Using the table below, please provide information on the level of expenditures/commitments to date. The amounts provided below are only indicative and will not be used by the Migration MPTF Fund Management Unit for any other purpose than monitoring progress and, if applicable, requesting the release of the second tranche.

	<b>PUNO 1</b>		<b>PUNO 2</b>		<b>TOTAL (all PUNOs)</b>	
	<i>Budget</i>	<i>Expenditures / commitments</i>	<i>Budget</i>	<i>Expenditures / commitments</i>	<i>Budget</i>	<i>Expenditures / commitments</i>
<i>Outcome 1</i>						
<i>Outcome 2</i>						
<i>Outcome 3</i>						
<i>Other costs (*)</i>						
<b>TOTAL</b>						

(\*) Other costs include all costs not budgeted for specific outcomes in the joint programme budget, i.e. monitoring and evaluation costs, indirect support costs as well as personnel costs and operational costs if not included in activities.

- Please state what US\$ amount was planned to be allocated to activities focussed on gender equality and women empowerment and how much has been actually spent/ committed to date:
- Is the payment of the second tranche required: Yes / No
  - If yes, what is the percentage of consumption of the first tranche (more than 70% must be spent or committed):
  - If no, when do you expect to seek payment of the second tranche

## Annex H: Human Rights Marker Guidance Note

*This guidance forms an integral part of the Migration MPTF Operations Manual. It was prepared under the leadership of the Office of the United Nations High Commissioner for Human Rights (OHCHR) with support from the UN Network on Migration and the Migration MPTF Fund Management Unit. It has been reviewed by the Migration MPTF Steering Committee and endorsed on 17 December 2020.*

### 1. Introduction

The [UN Network on Migration](#) was established to ensure effective, timely and coordinated system-wide support to the implementation of the Global Compact for Safe, Orderly and Regular Migration (GCM). In carrying out its mandate, the Network is committed to prioritizing the rights and wellbeing of migrants and their communities. In all its actions the Network will respect the principles of the GCM and promote the application of relevant international and regional norms and standards to respect, protect, and fulfil the human rights of all migrants, especially those in the most vulnerable situations.<sup>20</sup>

The [Global Compact for Safe, Orderly and Regular Migration](#) rests on the purposes and principles of the UN Charter, the Universal Declaration of Human Rights, and the nine core international human rights treaties (paras 1-2). States have acknowledged their obligation to respect, protect and fulfil the human rights of all migrants, regardless of their migration status, and committed to fulfil the objectives and commitments outlined in the GCM, in line with its vision and guiding principles, and to implement the GCM in a manner that is consistent with rights and obligations under international law (paras 11 and 41). The GCM is based on a set of cross-cutting and interdependent guiding principles, including a guiding principle on human rights:

*Human rights:* The Global Compact is based on international human rights law and upholds the principles of non-regression and non-discrimination. By implementing the Global Compact, we ensure effective respect, protection and fulfilment of the human rights of all migrants, regardless of their migration status, across all stages of the migration cycle. We also reaffirm the commitment to eliminate all forms of discrimination, including racism, xenophobia and intolerance against migrants and their families (para. 15).

This Guidance Note serves as a reference for the UN system to integrate a human rights marker in the project cycle of Joint Programmes implemented with support from the [Migration Multi-Partner Trust Fund](#) (Migration MPTF), consistent with the GCM vision and guiding principles, and international human rights law and standards. It is intended to provide direction for all Participating UN Organisations (PUNOs) and other stakeholders developing or implementing Migration MPTF Joint Programmes, or seeking to improve their human rights marker systems.

This human rights marker will help track and report on allocations and expenditures for ensuring human rights are upheld in all Migration MPTF Joint Programmes. It will guide the development of an effective and coherent approach for tracking resources to support human rights-based results.

### 2. What are Human Rights?

Human rights are universal legal entitlements protecting individuals and groups (rights holders) against actions and omissions by States or other actors (duty bearers) that interfere with fundamental freedoms. Human rights are inherent to all human beings and are founded on respect for the dignity and equality of each person without discrimination. These rights are all interrelated, interdependent and indivisible.

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<sup>20</sup> UN Network on Migration, [Terms of Reference](#).

Human rights entail both rights and obligations. States assume obligations and duties under international law to respect, to protect and to fulfil human rights. The obligation **to respect** means that States must refrain from interfering with or curtailing the enjoyment of human rights. The obligation **to protect** requires States to prevent private actors or third parties from committing human rights abuses. The obligation **to fulfil** means that States must take positive actions to ensure all people are able to realize their human rights.

Human rights have been a central pillar of the United Nations from its inception in 1945 with the adoption of the Charter of the United Nations. Human rights have been enshrined in the Universal Declaration of Human Rights and codified in a series of international human rights treaties ratified by States, as well as in other international and regional instruments that include human rights norms and standards. There are also regional human rights instruments, and most States have adopted constitutions and other laws that protect human rights and freedoms at the national level. Together with customary law, these instruments form the backbone of international human rights law.

Human rights include all economic, social, cultural, civil and political rights. International human rights law applies to all individuals, including all migrants, without discrimination. The human rights of migrants are also protected by the obligations and standards that arise from other bodies of international law, including international labour standards (or law), humanitarian and refugee law, the law of the sea and international criminal law.

Other non-binding instruments such as declarations, guidelines and principles adopted at the international level contribute to the understanding, implementation and development of human rights law and standards.

See: [UN, The foundation of International Human Rights Law](#)  
[OHCHR, What are human rights?](#)  
[ILO, International labour standards on labour migration](#)  
[ILO, OHCHR, IPU, Migration, human rights and governance](#)

## A. Cross-cutting principles

The international human rights framework is based on a number of cross-cutting human rights norms or principles, such as equality and non-discrimination, participation, access to information, access to remedy, accountability and the rule of law. These cross-cutting principles are expected to guide States and other duty bearers in their implementation of human rights treaties. (*See box: Cross-cutting human rights principles*)

## B. International Human Rights Framework

Member States have a wide range of obligations to respect, protect and fulfil the human rights of all individuals within their territory or subject to their jurisdiction, including all migrants regardless of their status, and to establish domestic laws, policies and programmes reflecting those obligations. These obligations rest on the very foundation of the purposes and principles of the Charter of the United Nations, the Universal Declaration of Human Rights (UDHR), and the nine core international human rights instruments, which provide legal protection to everyone, without discrimination.

## Cross-cutting human rights principles

- **Equality and non-discrimination** – All human beings are born free and equal in dignity and rights. The principle of non-discrimination prohibits distinction, exclusion, restriction or preference on the basis of a list of non-exhaustive grounds such as race, colour, descent, ethnic origin, sex, age, gender, sexual orientation, gender identity, disability, religion or belief, nationality, migration or residence status or other status. States should address direct and indirect discrimination against and unequal treatment of people in laws, policies and practices.
- **Participation and inclusion** – Everyone is entitled to active, free and meaningful participation in decisions that affect the enjoyment of their rights. All people have the right to access information, in a language and format accessible to them, regarding the decision-making processes that affect their lives and well-being.
- **Accountability and rule of law** – Everyone is entitled to claim and exercise their rights. States should ensure transparency in the design and implementation of their policies and must ensure that rights-holders have access to mechanisms of redress and to enjoy effective remedies when human rights breaches occur.

### i. Charter of the United Nations

Human rights, development, and peace and security are the three interlinked pillars of the UN System. Encouraging respect for human rights is a fundamental purpose of the United Nations under its Charter. All agencies and organizations under the UN System, within their own unique mandate, are committed to the common values and purpose of the UN Charter and contribute directly and indirectly towards the realization of human rights.

In the Charter, the United Nations commits to promote and encourage respect for human rights and for fundamental freedoms for all without distinction, including:

1. higher standards of living, full employment, and conditions of economic and social progress and development;
2. solutions of international economic, social, health, and related problems; and international cultural and educational cooperation; and
3. universal respect for, and observance of, human rights and fundamental freedoms for all without distinction as to race, sex, language or religion.

See: [UN, Charter of the United Nations](#)

### ii. Universal Declaration of Human Rights

The [Universal Declaration of Human Rights](#) (UDHR) was adopted by the General Assembly in 1948. In its Preamble, the UDHR asserts the “*inherent dignity and the equal and inalienable rights of all members of the human family [which] is the foundation of freedom, justice and peace in the world*”. It further affirms that “*All*

*human beings are born free and equal in dignity and rights*” (Article 1) and that “*Everyone is entitled to all the rights and freedoms set forth in this Declaration*” (Article 2). The UDHR establishes no hierarchy between human rights; all rights are universal, inalienable, indivisible, inter- dependent and of equal importance. Human rights law thus provides that every person, without discrimination, must have access to his or her human rights. Simply put, all human beings have all human rights, including all migrants, regardless of their migration status.

### iii. UN International human rights treaties

Following the adoption of the UDHR in 1948, a series of international human rights treaties have been adopted and ratified by Member States to give legal form to the inherent human rights enshrined in the UDHR and have further expanded and developed the international human rights framework. The [nine core international human rights treaties, listed below](#), apply to everyone without discrimination:

- International Convention on the Elimination of All Forms of Racial Discrimination (1965);
- International Covenant on Civil and Political Rights (1966);
- International Covenant on Economic, Social and Cultural Rights (1966);
- Convention on the Elimination of All Forms of Discrimination against Women (1979);
- Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1984);
- Convention on the Rights of the Child (1989);
- International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (1990);
- International Convention for the Protection of All Persons from Enforced Disappearance (2006);
- Convention on the Rights of Persons with Disabilities (2007).

Each of the nine core IHRL treaties has a corresponding [Human Rights Treaty Body](#), a committee of independent experts who monitor implementation of the treaty by its States parties, and who develop binding [jurisprudence](#) and other authoritative guidance in the form of [General Comments](#) on the specific content of the rights contained within each treaty.

See: [OHCHR, The core International Human Rights Instruments and their monitoring bodies](#)

[OHCHR, International Human Rights Law](#)

### iv. A human rights-based approach

While the *human rights framework* establishes fundamental rights and principles and requires States to contemplate a range of measures in order to respect, protect and fulfil their obligations, a *human rights-based approach* provides practical guidance and concrete tools to this end.

A **human rights-based approach (HRBA)** is normatively based on international human rights law and standards and operationally directed to respecting, protecting, and fulfilling human rights. The underlying feature of an HRBA is that it identifies *rights holders*, who, by virtue of being human, have a claim to certain entitlements, and *duty bearers*, who are legally bound to respect, protect and fulfil the entitlements associated with those claims. This requires knowing which international human rights treaties have been ratified by a particular country,<sup>21</sup> as

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<sup>21</sup> To determine which human rights treaties a country has ratified, see <https://indicators.ohchr.org/>.

well as an understanding the content of those treaty instruments, including through the jurisprudence and guidance of the relevant Human Rights Treaty Bodies. With this knowledge at hand, government authorities, international organizations, civil society organizations and other relevant stakeholders supporting the implementation of relevant laws, policies or practices will be equipped to ensure that such implementation works towards strengthening the capacities of rights-holders to claim their rights and of duty-bearers to meet their obligations.

Another key element of HRBA is that it seeks to analyse the inequalities that lie at the heart of policy problems and redress discriminatory practices that often result in groups of people being left behind. Thus it is necessary to identify groups or individuals that may be in situations of vulnerability, and make their protection, inclusion and empowerment a priority.

In the context of migration, an HRBA places migrants as rights-holders to the forefront of all discussion and bases programming on migration on the fundamental principles of equality and non-discrimination, participation and inclusion, and accountability and the rule of law. Importantly, an HRBA understands that the rights contained within international human rights instruments are not reserved for citizens: they apply equally, without discrimination, to everyone who is within a State's territory or within its jurisdiction, regardless of the person's nationality or migration status. Therefore, an HRBA to migration laws, policies or practices prioritizes respecting, protecting, and fulfilling all human rights for all migrants.

Adopting an **HRBA to programming** is a critical part of UN activities that can be taken to meet the responsibilities to promote the respect, protection and fulfilment of human rights. Adopting an HRBA:

- Offers a distinct human rights lens through which to analyse a situation;
- Focuses on the most marginalized groups and individuals whose rights are regularly denied or ignored or violated;
- Seeks to bring laws, policies and social practices into line with international standards, addressing structural inequalities and patterns of discrimination;
- Encourages governments and other actors as duty bearers to meet the obligations they have voluntarily committed to under human rights law;
- Pays attention to not only the results but also the process by applying the principles of participation, non-discrimination, empowerment, transparency and accountability;
- Provides a set of international standards that helps ensure a consistent one-UN approach to sensitive issues, with a normative grounding in international standards.

See: [OHCHR, Improving Human Rights-Based Governance of International Migration](#)  
[UNDG, UN Practitioner's Portal on HRBA to Programming](#)  
[UNSDG, Human Rights Working Group, The Human Rights Based Approach to Development Cooperation Towards a Common Understanding Among UN System Agencies](#)  
[UNDG, Guidance Note on Human Rights for Resident Coordinators and UN Country Teams](#)



### The Secretary-General’s Call to Action for Human Rights

In 2020, UN Secretary-General António Guterres issued “The Highest Aspiration,” a call to action for human rights, designed to make concrete the Secretary-General’s pledge to put human dignity at the heart of the UN’s work. One of the call to action’s guiding principles is: “Within the United Nations, human rights must be fully considered in all decision-making, operations and institutional commitments.” Thus the call to action commits to ensuring that human rights principles inform the implementation of the 2030 Agenda, and that the UN continues to enhance our organizational culture, building upon existing initiatives – including Human Rights Up Front and follow-up to the Rosenthal report – which emphasize prevention, protection and human rights in our awareness, decision-making and programming at field, regional and Headquarters levels.

See: [“The Highest Aspiration”: Call to Action for Human Rights](#)

### Human Rights Up Front (HRuF) Initiative

The Human Rights Up Front (HRuF) initiative calls for collective responsibility across the whole UN system to prevent serious human rights violations, identifying risks of human rights violations at an earlier stage, leveraging the wide range of UN mandates and capacities to respond, and ensuring senior officials at the country level are supported and backed by UN Headquarters. The initiative deepens the commitment to the human rights imperative and calls for cultural, operational and political changes in the way the UN works in order to ensure that the UN does everything in its power to prevent or respond to serious violations of human rights.

See: [Overview of the Human Rights Up Front Initiative](#)

[United Nations, Human Rights Up Front \(video\)](#)

[“Rights Up Front” Detailed Action Plan](#)

## 3. The Human Rights Marker

To uphold the GCM’s commitment to respect, protect and fulfil the human rights of all migrants, regardless of their migration status, across all stages of the migration cycle, a **Human Rights Marker** has been developed. This Marker is designed to help Participating UN Organisations (PUNOs) and implementing partners ensure their joint programs and initiatives are consistent with international human rights law and its principles, and take a human rights-based approach to programming.

The Migration MPTF Human Rights Marker tracks the:

***% of joint programmes and initiatives that are normatively based on international human rights law and standards and operationally directed to respecting, protecting, and fulfilling the human rights of migrants by strengthening the capacities of ‘rights-holders’ to claim their rights and of ‘duty-bearers’ to meet their obligations***

In order to assess compliance with this marker, PUNOs, at the joint programme design phase of the programme, should conduct a self-assessment to consider whether the elements of a human rights-based approach have been incorporated into the programme design. (See Annex: Self-Assessment Matrix)

## 4. Using the Human Rights Marker

### A. Adopting an HRBA

As a core commitment of United Nations programming, an HRBA should be adopted by all Joint Programmes seeking Migration MPTF funding, whether or not such a proposal has human rights as its primary or principal objective. An HRBA helps to ensure that all Joint Programmes are undertaken in a manner that is normatively aligned with international human rights law obligations, and thus consistently respects protects and fulfils the human rights of all migrants regardless of migration status, including the imperative to “do no harm”, which should guide the UN’s operational work at all times.

See: [UNDG, UN Practitioner’s Portal on HRBA to Programming](#)  
[UNESCO, Human Rights-Based Approach to Programming](#)  
[UNICEF, Human Rights-based Approach to Programming](#)

### B. Integrating human rights in the Migration MPTF Joint Programmes

#### i. Concept note

The concept note for any Joint Programme seeking Migration MPTF funding should already specify a commitment to a human rights-based approach and reflect an understanding of the relevant human rights obligations in the country concerned, as well as an initial understanding of the potential human rights risks and impacts of the Joint Programme as conceived.

#### ii. Joint programme document

At the joint programme document development stage, PUNOs should identify potential human rights impacts of Joint Programmes, both positive and negative, and elaborate plans for how to monitor and evaluate human rights impacts, as well as for mitigating foreseeable negative human rights impacts, and providing access to justice and remedies in the event of unforeseen negative human rights impacts. This should be accomplished in part through a consultation process with those likely to be affected by the Joint Programme, conducted in a manner that is gender-responsive, child-sensitive, and designed to ensure meaningful participation of those in situations of vulnerability. PUNOs should also ensure

staff<sup>22</sup> awareness of human rights obligations, including human rights treaties ratified (See: [human rights indicators](#)), other relevant instruments such as [ILO Conventions](#) on promoting decent work and labour migration and relevant recommendations of the human rights treaty bodies, independent experts of the UN human rights system, and the Universal Periodic Review, as well as the supervisory mechanisms of other relevant UN agencies.

### iii. Joint Programme implementation

Throughout the lifetime of the Joint Programme, PUNOs should maintain consultation processes with affected individuals, communities and relevant stakeholders, and should effectively monitor the human rights impact of Joint Programmes with reference to relevant human rights and other relevant standards. Joint Programme staffing should be gender-balanced and take account of stakeholder needs. PUNOs should maintain transparency with regard to Joint Programme planning and implementation and ensure access to information for affected stakeholders.

### iv. Joint Programme evaluation and reporting

At the Joint Programme evaluation stage, the independent evaluator must include, in his/her evaluation, the impacts of the Joint Programme's activities on the human rights enjoyment of impacted rights-holders. The evaluation report should also reflect on the overall adherence to human rights programming guidance and identify lessons learned. Annually, the Migration MPTF Fund Management Unit, in collaboration with OHCHR, will compile the data provided by the independent evaluation reports and capture it in its annual report and overall tracking of results.

See: [OHCHR, Human Rights Indicators: A Guide to Measurement and Implementation](#)  
[ILO. The rules of the Game, An introduction to the standards-related work of the International Labour Organization, Geneva, 2019](#)

## C. Exercising due diligence

Exercising a human rights due diligence approach, encouraging the respect of and promoting human rights, is critical for the UN's work with all actors, including partnerships with State, non-State, civil society and [corporate actors](#).

See: [United Nations, Guidance Note: Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Security Forces](#)  
[United Nations, Guiding Principles on Business and Human Rights](#)  
[OHCHR, Benchmarking Study of Development Finance Institutions' Safeguards and Due Diligence Frameworks against the UN Guiding Principles on Business and Human Rights](#)  
[ILO General principles and operational guidelines for fair recruitment, and Definition of recruitment fees and related costs](#)

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<sup>22</sup> Staff here is understood to mean those who are involved in the Joint Programme at the development and at the implementation phase.

## Human Rights Due Diligence Policy

The Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Security Forces (HRDDP) - including police, immigration officials, border guards, coast guards, prison or detention officials - is a particular UN system-wide policy that applies specifically to UN support to security forces that are not part of the UN—including support provided by member agencies of UN Country Teams—and in any context, whether conflict or non-conflict. It requires the UN entity to: (1) conduct risk assessments on whether the entities receiving support might commit grave violations (as defined by the policy); (2) provide support only when risks of grave violations do not exist or are mitigated through the adoption of specific measures (so-called mitigatory measures); (3) establish procedures for monitoring the conduct of recipient entities during the time support is provided; and (4) bring allegations of grave violations to the attention of national authorities with a view to bringing these to an end, should they be committed during the period of support, and, should that be ineffectual, potentially to suspend or withdraw support. The HRDDP is primarily aimed at encouraging UN entities to ensure that support to non-UN security forces is consistent with the UN’s purposes and principles. For the purposes of the HRDDP, “support” is understood broadly to refer to most forms of UN support, including financial support, training, mentoring, advisory services, capacity- and institution-building and other forms of technical cooperation.

In practice, the implementation of this policy in a variety of contexts and situations where the UN system is engaged has already led to improvements, including increasing understanding that human rights violations by support beneficiaries will not only affect the UN entities concerned but also the validity, efficiency and impact of corresponding programmes.

**See:** [United Nations, Guidance Note: Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Security Forces](#)

[United Nations, Guiding Principles on Business and Human Rights](#)

[OHCHR, Benchmarking Study of Development Finance Institutions’ Safeguards and Due Diligence Frameworks against the UN Guiding Principles on Business and Human Rights](#)

## Annex: Self-Assessment Matrix

To support participating UN organizations (PUNOs) in assessing their compliance with the Human Rights marker, the following Self-Assessment Matrix has been designed to be completed **at the joint programme submission phase**. This self-assessment should be completed by PUNOs together with implementing partners. The reason for the choice of yes, no, or not applicable should be briefly explained in the final column of the matrix.

Element of an HRBA	Yes/No/Not Applicable	Justification
1. A human rights-based situational analysis has been conducted to identify: <ol style="list-style-type: none"> <li>a) the key human rights obligations of the State(s) in which you work/whose government's) you are supporting; and</li> <li>b) the key human rights issues of relevance to your intended target group, including a particular attention to migrants most vulnerable to human rights violations and abuses and/or most at risk of being left behind.</li> </ol>		
2. Staff are aware of the human rights obligations of the government they are supporting.		
3. Measures have been identified to mitigate any unintended negative human rights impacts identified in the situational analysis and their monitoring has been integrated in the project's Monitoring and Evaluation processes.		
4. Monitoring processes are in place and evaluation processes are contemplated that make specific reference to relevant human rights and other relevant standards.		
5. Migrants, civil society, national human rights institutions and other stakeholders have been meaningfully engaged in the design and development of the Joint Programme.		
6. A plan to ensure a meaningful consultation processes with all relevant stakeholders is in place and will be maintained throughout the duration of the Joint Programme and in the evaluation phase.		
7. Appropriate due diligence will be exercised throughout the duration of the joint programme, regarding partnerships with or support to State, non-State, civil society, employers' and workers' organizations and corporate actors.		

8. A plan is in place to ensure that Joint Programme staffing is gender-balanced and staff are equipped to respond effectively to stakeholder and target group needs.		
9. Transparency and access to information by the intended target group and relevant stakeholders, including cultural, linguistic, and age-appropriate access, will be maintained throughout the duration of the joint programme.		
10. Measures, including an effective complaint and remedy mechanism, will be put in place in order to provide redress for negative human rights impacts.		

**Note: Migration MPTF Scoring:** A “yes” response should be given a score of 1. A “no” response or a “not applicable” responses should be given a score of 0.

<b>A</b>	<b>8-10</b>	The Human Rights Marker has largely been achieved.
<b>B</b>	<b>4-7</b>	The Human Rights Marker shows significant integration of human rights in the joint programme but some challenges remain.
<b>C</b>	<b>1-3</b>	The Human Rights Marker shows a very partial integration of human rights in the joint programme.

## Annex I: Gender Marker Guidance Note

December 2020

### Introduction

The [Migration Multi-Partner Trust Fund](#) (Migration MPTF, or the Fund) was called for by the Global Compact for Safe, Orderly and Regular Migration (Global Compact), adopted by the General Assembly in December 2018. It is a UN financing mechanism to support Member States and regional/global entities in their implementation of the Global Compact, and is the first pooled funding instrument focusing on migration. It is a concrete demonstration of a multilateral commitment to strengthen international cooperation in the pursuit of principled and better governed international migration, placing the wellbeing of individuals at its core.

The Global Compact espouses gender-responsiveness as one of its ten guiding principles, stating as follows:

*“The Global Compact ensures that the human rights of women, men, girls and boys are respected at all stages of migration, that their specific needs are properly understood and addressed and that they are empowered as agents of change. It mainstreams a gender perspective and promotes gender equality and the empowerment of all women and girls, recognizing their independence, agency and leadership in order to move away from addressing migrant women primarily through a lens of victimhood.”<sup>23</sup>*

In line with the Global Compact guiding principle, the Migration MPTF encourages partners to develop joint programmes that actively contribute to achieving gender equality and women’s empowerment (GEWE).<sup>24</sup> As an overall principle, and as reaffirmed in the Fund’s Results Framework, the Migration MPTF seeks to ensure that the majority of its funding is allocated to joint programmes that make significant contributions to GEWE.

### Migration MPTF Gender Marker

This Note provides guidance for the UN system to advance and integrate GEWE as part of the joint programmes submitted to, and/or implemented with the financial support of the Fund. It is intended to provide guidance for all Participating UN Organisations (PUNOs) and other stakeholders developing or implementing Migration MPTF joint programmes, highlighting that the integration of gender equality considerations is a requirement for all proposal submissions. As such, the gender marker will help track and report on allocations and expenditures for ensuring GEWE are advanced and integrated in all Migration MPTF joint programmes.

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<sup>23</sup>See: [https://www.un.org/en/development/desa/population/migration/generalassembly/docs/globalcompact/A\\_RES\\_73\\_195.pdf](https://www.un.org/en/development/desa/population/migration/generalassembly/docs/globalcompact/A_RES_73_195.pdf)

<sup>24</sup> Please note that for the purpose of this note, women’s empowerment will include both women and girls.

The Migration MPTF Gender Marker is based on a 4-point scale, aligned with the UNDG standard:<sup>25</sup>

Score	Description	% of total budget reserved for gender (indicative)
<b>A</b>	Projects that have gender equality and women's empowerment (GEWE) as the primary objective	70%-100%
<b>B</b>	Projects that significantly contribute to gender equality and women's empowerment (GEWE)	25%-70%
<b>C</b>	Projects that make a marginal contribution to gender equality and women's empowerment (GEWE), but not significantly	5%-25%
<b>N/A</b>	Projects that are not expected to make a noticeable contribution to advancing gender equality and/ or the women's empowerment (GEWE)	Less than 5%

Through the Gender Marker, the Migration MPTF tracks allocation to GEWE and reports to Member States, donors and partners on its results. The Fund reviews joint programmes on the Gender Marker scale by taking into consideration the extent to which gender equality considerations and gender responsiveness is integrated into the following sections of the project proposals:

- Needs assessment and problem analysis;
- Target populations;
- Expected results and the Theory of Change;
- Results monitoring;
- Budget allocation; and
- Risk analysis.

The Fund supports projects with high-quality standards and therefore requests that all projects regardless of their Gender Marker ranking include gender equality considerations in their needs and risk analysis, and disaggregate data and indicators by sex and age.

The table below provides guidance for applicants when assigning a gender marker score to their projects. They are meant to clarify the difference between the gender markers in terms of how gender equality and women's empowerment (GEWE) are addressed and advanced in the various elements of the project. The applicant is to use this as a 'check-list' to review and compare the project against and allocate a marker or make the necessary changes to the proposal to reach the desired marker.

<sup>25</sup> Reference: United Nations Development Group: "Gender Equality Marker Guidance Note September 2013"  
<https://undg.org/wp-content/uploads/2017/03/UNDG-Gender-Equality-Marker-Guidance-Note-Final-Sep-2013.pdf>



#### **GENDER MARKER A:**

The principle purpose of the joint programme is to advance gender equality and women’s empowerment (GEWE) in the context of migration. Gender equality is fundamental to the joint programme design and the expected results. The joint programme would not have been undertaken without the gender equality objective.

<b>Needs Assessment</b>	<ul style="list-style-type: none"> <li>• Include a comprehensive gender analysis to highlight the gender dynamics (e.g. gender-specific discrimination, stigma, exclusion, and sexual and gender-based violence) and an analysis of the specific realities of women, men, girls and boys, inclusive of those identifying as LGBTIQ, and their situation, roles and responsibilities and how these affect their migration experiences.</li> <li>• Clearly articulate which are the key beneficiaries, and what the specific needs of women, girls, men and boys are.</li> </ul>
<b>Target population</b>	<ul style="list-style-type: none"> <li>• Does not have to target women only (gender equality includes working with men on gender norms) but can be exclusively focused on women if clearly articulated why this is the best approach to achieve GEWE and migration-related outcomes.</li> <li>• Is clearly identified or proposes criteria for selection (e.g. female migrants, women headed household, male border officials, etc.)</li> <li>• Multiple forms of discrimination, and an intersectional approach should be considered.</li> </ul>
<b>Expected Results and Theory of Change</b>	<ul style="list-style-type: none"> <li>• Achieving migration-related impact by addressing the specific needs and challenges of women and girls, and through advancing GEWE as the main objective of the project</li> <li>• All project outcomes and outputs directly contribute to advancing GEWE</li> <li>• All the activities are formulated to make an impact on GEWE outputs and outcomes and take into account an active participation, particularly of women, in designing and implementing activities and determining results</li> <li>• The Theory of Change clearly articulates the causal link chain that will contribute to GEWE, and improve migration outcomes.</li> </ul>
<b>Results monitoring</b>	<ul style="list-style-type: none"> <li>• All data to be disaggregated by sex and age, and other identities where possible</li> <li>• Most outcome and output-level indicators measure change in terms of GEWE.</li> <li>• The results have corresponding indicators to measure how gender equality will be advanced.</li> </ul>
<b>Budget</b>	<ul style="list-style-type: none"> <li>• 70 to 100 % of the total budget is allocated towards GEWE results</li> <li>• If the activity is specifically targeting gender equality and/or empowerment 100% of the budget can be allocated to GEWE</li> <li>• Please note that considering UN Women’s budget allocation as the only GEWE allocation of the project is not sufficient; all project partners need to make clear allocations to advancing GEWE</li> <li>• Please note that staffing costs can be included in GEWE allocation. The ToR of the staff member can be used to guide financial allocation of staffing costs to GEWE.</li> </ul>
<b>Risk Analysis</b>	<ul style="list-style-type: none"> <li>• Includes an analysis of gender-specific risks and mitigation strategies. For example, will the interventions of the project address the specific needs of migrant women and girls and tackle gender-specific discrimination? Will an increase in the participation of migrant women in decision making result in negative repercussions, e.g. a backlash from traditional leaders? What steps will the project take to address and mitigate this?</li> <li>• Risks included in the analysis should also include the risks of not achieving sustainable results if women are not meaningfully included</li> </ul>

### GENDER MARKER B:

Advancing gender equality and women’s empowerment (GEWE) is a significant objective but not the principal reason to undertake this joint programme. It is a secondary objective expected to make a significant contribution to advancing gender equality, with corresponding indicators to measure how gender equality will be advanced. Gender equality considerations are reflected in the needs assessment, implementation/activities, the results framework and the budget. Gender is mainstreamed throughout the joint programme.

<b>Needs Assessment</b>	<ul style="list-style-type: none"> <li>Includes a substantive gender analysis to highlight the gender dynamics, the key beneficiaries from a gender perspective, and assesses the different needs and challenges of women, men, girls and boys, including those identifying as LGBTIQ.</li> </ul>
<b>Target population</b>	<ul style="list-style-type: none"> <li>Men, women, boys and girls, or women and girls, are targeted by the project and their distinct needs and capacities are reflected in the project description</li> <li>Some activities address barriers to GEWE and ways to work towards its achievement.</li> <li>Efforts are made and special measures are put in place to accelerate equal representation of women and men as much as possible</li> </ul>
<b>Expected Results and Theory of Change</b>	<ul style="list-style-type: none"> <li>GEWE is a significant objective of the project</li> <li>Minimum one outcome and/or output directly contributes to achievement of GEWE</li> <li>The Theory of Change clearly articulates the causal link chain that will contribute to GEWE for the relevant outcome identifying barriers and challenges adequately.</li> </ul>
<b>Results monitoring</b>	<ul style="list-style-type: none"> <li>All data to be disaggregated by sex and age, where possible</li> <li>At least one outcome and/or output -level indicator aims at measuring impact on GEWE</li> </ul>
<b>Budget</b>	<ul style="list-style-type: none"> <li>25 to 70% of the total budget is allocated to GEWE</li> <li>Please note that staffing costs can be included in GEWE allocation. The ToR of the staff member can be used to guide financial allocation of staffing costs to GEWE.</li> </ul>
<b>Risk Analysis</b>	<ul style="list-style-type: none"> <li>Includes an analysis of gender-specific risks and mitigation strategies</li> </ul>

### GENDER MARKER C:

Gender equality considerations are integrated into the needs assessment with a view to ensure that the different needs and challenges of migrant women, girls, men and boys are considered and understood. Projects make a marginal contribution to advancing gender equality and/ or the empowerment of women and girls. However, gender equality and women’s empowerment (GEWE) is not a significant objective of this project.

<b>Needs Assessment</b>	<ul style="list-style-type: none"> <li>Discusses the different needs of women, girls, men and boys, but does not provide a substantive analysis of the gender dimensions of the context.</li> <li>Make reference on how to ensure that the design and implementation of the project does not reinforce gender inequality, based on a gender analysis.</li> </ul>
<b>Target population</b>	<ul style="list-style-type: none"> <li>Mentions women and girls but typically among other groups and does not identify specific criteria.</li> </ul>
<b>Expected Results and Theory of Change</b>	<ul style="list-style-type: none"> <li>Will contribute in some way to advancing GEWE, but not significantly.</li> <li>No outcome / outputs dedicated exclusively to advancing GEWE</li> <li>Activities do not primarily promote GEWE</li> </ul>
<b>Results monitoring</b>	<ul style="list-style-type: none"> <li>Indicators are disaggregated by sex and age (where possible) and there is at least one indicator referring to gender.</li> </ul>
<b>Budget</b>	<ul style="list-style-type: none"> <li>5 to 25%, of the project’s budget is allocated to advancing GEWE</li> </ul>
<b>Risk Analysis</b>	<ul style="list-style-type: none"> <li>May include an analysis of gender-specific risks and mitigation strategies</li> </ul>

#### **GENDER MARKER N/A:**

The project is not expected to contribute to GEWE in any noticeable way. There are no indicators that are disaggregated by sex, measure the engagement of women, girls, boys, men, etc., nor do any of the indicators show how GEWE will be advanced.

### **How it works & Who does what**

- ✓ The Gender Marker is mandatory for all joint programme concept notes and proposals for the Migration MPTF. The Migration MPTF concept note and joint programme templates include specific sections for the Gender Marker (Concept note template section 6; Joint programme document template cover page). Proposals that do not include a Gender Marker will be returned.
- ✓ The Gender Marker score is proposed by the Participating UN Organizations (PUNOs) when submitting a proposal (concept note or joint programme document) to the Migration MPTF (self-scoring).
- ✓ The Migration MPTF Fund Management Unit will review the Gender Marker of all submissions before they are reviewed by the Migration MPTF Steering Committee.
- ✓ The Migration MPTF Steering Committee, when approving joint programmes, will review the Gender Marker and where necessary recommend changes to strengthen the integration of gender equality women's empowerment.

## References

UNCT Gender Equality Marker Guidance Note:

<https://unsdg.un.org/resources/unct-gender-equality-marker-guidance-note>

UNDG Resource Book for Mainstreaming Gender in UN Common Programming at the Country Level:

<https://unsdg.un.org/resources/resource-book-mainstreaming-gender-un-common-programming-country-level>

UNDG Gender Equality Marker - Guidance Note:

<https://unsdg.un.org/resources/gender-equality-marker-guidance-note>

UN Women Gender mainstreaming In development programming:

<https://www.unwomen.org/en/digital-library/publications/2015/02/gender-mainstreaming-issues>

For resources related to Gender and Migration, see: <https://www.iom.int/gender-and-migration> and

<https://www.unwomen.org/en/digital-library/publications?topic=e67c3cc684ce482d812861bd59c3d054>