



Australian Government

Department of Foreign Affairs and Trade



# AID PROGRAM PERFORMANCE REPORT 2018-19

ASEAN and Mekong Program

September 2019



## KEY MESSAGES

- ASEAN sits at the heart of the Indo-Pacific. It is in Australia's national interest to support a stronger ASEAN and recognise the importance of ASEAN's role in maintaining stability in the Indo-Pacific region, as laid out in the Foreign Policy White Paper.
- The ASEAN and Mekong Program supports ASEAN-led regional architecture that builds an open, prosperous and inclusive Southeast Asia.
- The ASEAN and Mekong Program partners with ASEAN and its ten Member States to enable regional economic cooperation, connectivity, infrastructure development and inclusive growth, and strengthen regional responses to human trafficking and exploitation of migrant workers.
- Investments implemented as part of the ASEAN and Mekong Program are on track and are achieving their goals. This includes implementation of announcements from the 2018 ASEAN-Australia Special Summit.
- The ASEAN and Mekong Program is appreciated by ASEAN and its Member States for its collaborative approach to addressing key regional and subregional challenges.
- The ASEAN and Mekong Program promotes gender equality and social inclusion to reduce inequality and ensure development for all in a secure and prosperous region where no-one is left behind.
- In our next Aid Investment Plan, we will rebalance the Program to better cover all three ASEAN pillars – political-security, economic, socio-cultural – to reinforce our status as a leading partner for ASEAN. A number of the Program's investments are either ending or entering a new phase over the next financial year.
- In our forward planning, we will support ASEAN's newly-adopted Outlook on the Indo-Pacific, which articulates a vision for a region that is open, inclusive, rules-based and respectful of sovereignty, and provides opportunities for cooperation between ASEAN and Dialogue Partners in the areas of maritime, connectivity, sustainability and economic issues.

## ASEAN AND MEKONG AID PROGRAM PERFORMANCE INFORMATION 2018-19

### SUMMARY

Australia's Foreign Policy White Paper (FPWP) highlights the importance of ASEAN's centrality to our engagement in the Indo-Pacific, and the role it plays in building an open, prosperous and inclusive Southeast Asia. The ASEAN and Mekong Program (the Program) cooperates closely with ASEAN to promote transparent rules and regional economic integration, to reduce transnational crime and to promote safe, fair and orderly migration.

The Program continues to implement many of the ASEAN-Australia Special Summit initiatives. ASEAN-Australia Counter Trafficking (AACT) commenced in November 2018. New investments on Women, Peace and Security, digital standards and connectivity are progressing well.

The Program investments are on track and are achieving results. The Program benefits from our long-standing partnership with ASEAN, ASEAN's recognition of our technical expertise and a proven track record of working with ASEAN systems.

The Program's **economic investments** focus on enhancing regional economic integration and connectivity (AADCP II)<sup>1</sup>; supporting the implementation of Free Trade Agreement commitments (AECSP)<sup>2</sup>; promoting evidence based economic policy making (ERIA)<sup>3</sup>; improving access to financial services for low income women and men in ASEAN (SHIFT)<sup>4</sup>; and supporting stronger water resources cooperation and improved infrastructure development to ensure water, food and energy security in the Mekong (GMWRP)<sup>5</sup>. Several Mekong programs related to transport (GMS TTF)<sup>6</sup> business enabling environments (MBI)<sup>7</sup> and bio-security (LAMP)<sup>8</sup> are ending.

Our **counter-trafficking** (AACT<sup>9</sup> and AIP<sup>10</sup>), **safe migration** (TRIANGLE in ASEAN)<sup>11</sup> and disability rights (DRIA)<sup>12</sup> investments support regional responses to human rights issues, national and cross-border governance challenges, and regional stability.

The current Aid Investment Plan will conclude at the end of 2019. DFAT completed an internal strategic review of the ASEAN and Mekong Program to inform future directions of the program, which was approved by relevant Ministers. This gives us a clear framework to inform our new Aid Investment Plan so that ongoing activities and new designs will better align with our Indo-Pacific objectives.

## EXPENDITURE

The Program's expenditure was distributed across two objectives and was similar to the previous reporting period – FY2017-18. Security Cooperation and Human Rights is an emerging area of work that is reflected below to enable accurate tracking of expenditure over the forward years. We expect it will be incorporated as an objective in the next Aid Investment Plan.

**Table 1 Total ODA Expenditure in FY 2018-19**

Objective	A\$ million	% of total ODA
Objective 1: Enabling regional economic cooperation and inclusive growth	20.2	60.7
Objective 2: Strengthening regional responses to trafficking and the exploitation of migrant workers	10.4	31.2
Security Cooperation and Human Rights	2.7	8.1
Total ODA Expenditure	33.3	100

<sup>1</sup> ASEAN-Australia Development Cooperation Program Phase II

<sup>2</sup> ASEAN-Australia-New Zealand FTA (AANZFTA) Economic Cooperation Support Program

<sup>3</sup> Economic Research Institute for ASEAN and East Asia

<sup>4</sup> Shaping Inclusive Finance Transformations in ASEAN Program

<sup>5</sup> Greater Mekong Water Resources Program

<sup>6</sup> Greater Mekong Subregion Trade and Transport Facilitation Program

<sup>7</sup> Mekong Business Initiative

<sup>8</sup> Emerging Disease Risk Reduction – Mekong – Live Animal Marketing and Production

<sup>9</sup> ASEAN-Australia Counter Trafficking

<sup>10</sup> ACTIP Implementation Project

<sup>11</sup> Tripartite Action to Enhance the Contribution of Labour Migration to Growth and Development in the Association of Southeast Asian Nations

<sup>12</sup> Disability Rights in ASEAN



## PERFORMANCE AGAINST STRATEGIC OBJECTIVES

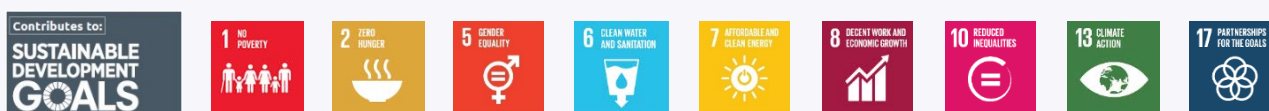
Objective	Previous Rating	Current Rating
Objective 1 Enabling regional economic cooperation and inclusive growth	Green	Green
Objective 2 Strengthening regional responses to trafficking and the exploitation of migrant workers	Green	Green

**Green.** Progress is as expected at this stage of implementation and it is likely that the objective will be achieved. Standard program management practices are sufficient.

**Amber.** Progress is somewhat less than expected at this stage of implementation and restorative action will be necessary if the objective is to be achieved. Close performance monitoring is recommended.

**Red.** Progress is significantly less than expected at this stage of implementation and the objective is not likely to be met given available resources and priorities. Recasting the objective may be required.

## OBJECTIVE 1. ENABLING REGIONAL ECONOMIC COOPERATION AND INCLUSIVE GROWTH.



All investments reported below delivered on work plans agreed with partners, met performance expectations (see Annex B) and were assessed as effective (see Annex D).

Investments under this objective contributed to SDGs 1, 2, 5, 6, 7, 8, 10, 13 and 17 by: advancing ASEAN's economic integration agenda and reducing inequality within and among ASEAN countries; promoting inclusive and sustainable economic growth; and improving sustainable water resource management in the Mekong.

Although economic growth trajectories across ASEAN are strong, there is variation among countries in terms of level of development and the growth challenges they face. For example, in 2018, five of the ten member states (Cambodia, Laos, Myanmar, the Philippines and Vietnam) had an annual GDP per capita below USD9,000 but are forecast to have real GDP growth of 6 per cent or greater over the next five years. There is also significant ongoing inequality within and between ASEAN Member States, which could threaten longer-term economic growth and regional stability.


Our economic investments focus on inclusive economic growth and improving economic policy and governance. Change requires action by governments and often takes time. These investments work across multiple country contexts where different national priorities and resourcing constraints are a key factor in program effectiveness and the achievement of results. Influencing counterparts to mainstream gender equality remains an ongoing challenge for the program.

### ASEAN-Australia Development Cooperation Program Phase II (AADCP II)

In 2018-19, AADCP II's policy advice, reports and publications continued to support priority AEC<sup>13</sup> objectives including sustainable urbanisation, energy, tourism and connectivity. Several program-supported products were launched alongside the 33rd ASEAN Summit in November 2018. These included the ASEAN Sustainable Urbanisation Strategy, the ASEAN Connectivity microsite and the ASEAN Investment Report 2018, which highlighted Australia's role in the growing FDI<sup>14</sup> in ASEAN. Further, the program's connectivity work, including infrastructure and logistics, is of strategic value to ASEAN and Australia. A study to progress implementation of the ASEAN Multilateral Power Trade identified models to advance multilateral trading and an integrated

<sup>13</sup> ASEAN Economic Cooperation

<sup>14</sup> Foreign Direct Investment



electricity market. Final recommendations were presented to the ASEAN Senior Officials Meeting on Energy in June 2019, with plans to present to Ministers later in the year.

AADCP II is scaling up its investments in ASEAN's agenda to narrow the development gap among its Member States – the Initiative for ASEAN Integration (IAI) – with a particular focus on Cambodia, Lao PDR, Myanmar and Vietnam. In 2018-19, the program supported assessments in all four countries of the extent, causes and potential methods to minimise post-harvest losses of selected high-value fruits. Reduction in post-harvest losses would have significant positive flow-on effects to smallholder farmer income, job creation, domestic nutritional intake and export earnings. An ongoing challenge for AADCP II is incorporating gender into its project design and activities, which stems from the program's close synchronisation with ASEAN's economic integration agenda and its relative lack of gender mainstreaming. In 2018-19, the program had limited success at identifying projects with gender considerations, although the ASEAN Sustainable Urbanisation Strategy effectively recognises the particular opportunities and challenges rapid urbanisation presents to women and girls. A no-cost extension in April 2019, extended the program to December 2021. The timeframe allows for new projects, at the same time as the final review and design of a successor program, which will focus on better targeting of Australian investment in regional economic integration and connectivity for greater impact.

#### **ASEAN-Australia-New Zealand Free Trade Area (AANZFTA) Economic Cooperation Support Program (AECSP)**

To advance ASEAN's efforts to promote the free flow of goods, services and investments AECSP continued to assist ASEAN Member States to maximise the implementation and benefits of AANZFTA in 2018-19. A 2019 independent review of AECSP concluded that it contributed to advancing AANZFTA implementation. AECSP helped build technical and regulatory capacity of ASEAN Member States to implement Sanitary and Phytosanitary measures and facilitate trade in agricultural products. AECSP supported Investment Policy Reviews in Cambodia and Vietnam that outlined their respective investment climates and will contribute toward improved policy development and investment reform efforts. AECSP's CLIP Phase III<sup>15</sup> supported ASEAN competition authorities to build expertise to enforce competition. CLIP III supported Vietnam's National Assembly to pass a revised competition law. The next phase of AECSP will align with the recommendations of the AANZFTA General Review, which recommended the program focus on fewer, larger, long-term projects.

#### **Economic Research Institute for ASEAN and East Asia (ERIA)**

Our contribution to the Economic Research Institute of ASEAN and East Asia (ERIA), a key economic think-tank for East and Southeast Asia, helps to build economic policy-making capacity among ASEAN Member States, with a focus on Cambodia, Laos, Myanmar and Vietnam (CLMV). This support advances our joint interests in building economic resilience and integration in Southeast Asia. ERIA supported policymakers in CLMV to apply ERIA's research to national policy development through targeted capacity building activities, including support for evidence-based economic policy development in Cambodia and training for Lao trade negotiators regarding the inclusion of e-commerce in regional and international trade agreements. ERIA has provided key inputs to ASEAN's Vision 2040 (a priority of Thailand's ASEAN Chairmanship) and supported the development of the ASEAN Outlook on the Indo-Pacific.

#### **Greater Mekong Water Resources Program (GMWRP)**

The GMWRP supports transparent, inclusive, informed and accountable water resources management, contributing to regional economic development through improved water, food, energy and environmental security. The newly created Australia Mekong Water Facility has used the Australian Water Partnership to mobilise Australian expertise to assist with requests from Mekong governments, such as the development of a new comprehensive National Water and Water Resources Management Strategy in Laos.

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<sup>15</sup> AECSP's Competition Law Implementation Program III



In 2018-19, the GMWRP supported the MRC<sup>16</sup> in its efforts to implement its 2016-2020 Strategic Plan. Key tasks carried out by the MRC included successfully running the Prior Consultation Process for the most recent mainstream hydropower project announced by Laos at Pak Lay. The MRC also renewed its formal agreement on water data sharing during rainy season with China and enhanced its engagement with regional civil society. A mid-term review of MRC's Strategic Plan 2016-20 concluded that despite socio-political challenges, the MRC was able to complete significant tasks such as adopting the Mekong Climate Change, Adaptation and Action Plan. From July 2019, Australia assumed the role of Chair of the MRC Development Partners group, giving us increased opportunity to contribute to and influence Mekong water diplomacy.

IFC<sup>17</sup> highlights in 2018-19 include the introduction of new water governance tools and processes, including the Strategic Environmental Assessment of the hydropower sector in Myanmar. The program also supported the Government of Laos to undertake a Cumulative Impact Assessment of Hydropower Development in the Sekong River Basin. The Oxfam Inclusion Project continued building the capacity of civil society groups, promoting their participation in water resources governance. In March 2019, an inaugural Women and Rivers Congress highlighted the role of women in water governance and advocated for compensation for communities affected by the building of the Lower Sesan 2 dam in Cambodia.

GMWRP organised, with the support of the Canberra Fellowships Program, the 1st Mekong-Australia Renewable Energy Dialogue in Australia, in June 2019. Senior Mekong energy officials from Cambodia, Laos, Myanmar, Vietnam and Thailand and the CEO of the MRC benefited from a comprehensive exchange of knowledge and technical expertise between Mekong and Australian renewable energy and water governance specialists. The visiting delegates were exposed to key issues such as cross-boundary water management, energy planning, energy storage and transmission technologies, and sustainable financing options.

### **Emerging Disease Risk Reduction - Mekong- Live Animal Marketing and Production (LAMP)**

Australia is strengthening emergency preparedness against bird flu through LAMP, including value chain biosecurity across CLMV, in partnership with USAID. In 2018-19, LAMP strengthened capacities of local authorities in Vietnam to register, audit, and certify poultry farms, supporting improved provincial trade, risk management and harmonised standards. In Myanmar, private sector engagement introduced bio-security measures for egg production. In Laos, local farmers are mitigating disease spread through combining local enterprise and production of healthy, native chicks. LAMP undertook a gender equality assessment of bird flu risk management along poultry value chains. This reinforced the important role of women in value chains and disease control. The study helped establish a women's management sub-committee to strengthen the voice of female stakeholders a new live-bird market in Cambodia.

### **Greater Mekong Subregion Trade and Transport Facilitation Program (GMS TTF)**

The GMS TTF has helped streamline cross-border transport logistics through the agreement and implementation of the Cross-Border Transport Facilitation Agreement (CBTA), which came into force in August 2018. GMS transport operators are saving both time and money by using CBTA permits to access extended routes and streamline paperwork. The pilot implementation of the CBTA will continue for two more years to allow time for full adoption and preparation for ASEAN wide customs transit arrangements. The investment supported gender-friendly border crossings using appropriate processes for physical inspections of passengers. Australia's eight-year support of this initiative concluded in June 2019.

### **Mekong Business Initiative (MBI)**

MBI helps SMEs<sup>18</sup>, women and young entrepreneurs in CLMV with its focus on alternative finance and business incubation. The program's Fintech Challenge Vietnam stimulated interest across Myanmar,

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<sup>16</sup> Mekong River Commission

<sup>17</sup> International Finance Corporation

<sup>18</sup> Small to Medium sized Enterprises

Thailand, and Cambodia and is supporting a more regionally integrated fintech market. MBI supported Myanmar to launch the Myanmar Companies Online Registry (MyCO), leading to 20,000 enterprises using the platform. MBI also helped launch the Women's Initiative for Start-ups and Entrepreneurship (WISE) under the Women Innovation Challenge. Of the 12 WISE finalists, several have secured investment totalling over USD2.4 million. In 2018, DFAT and the ADB agreed to a final extension of the program until December 2019 to focus on closure and sustainability measures.

### Shaping Inclusive Finance Transformations Program (SHIFT)

In 2018-19, SHIFT Challenge Fund Facility grants provided access to financial services for over 516,000 beneficiaries (38 per cent women). Cumulatively, SHIFT has provided financial access to over 2.3 million low-income men, women and enterprises in ASEAN, exceeding end-of-program targets. Usage results include over 120,000 sustained users. Financial service segments show usage rates ranging from 4.2 per cent (payment services) to 91 per cent (clean energy financing services) against a new industry standard of 36 per cent; Three new remittance projects (TransferTo/Thunes, Singcash, AMK) were signed, with TransferTo/Thunes exceeding access targets through 80,000 transfers. Since 2014, SHIFT has leveraged over AUD5.7 million in private sector investment across ASEAN's emerging markets. A 2018 independent mid-term review concluded that SHIFT was achieving intermediary targets, demonstrated value for money, and highlighted complexities around recording usage rates as an area of improvement which the program has actioned. SHIFT was extended until December 2020 and will focus on results reporting in its final year, and develop a transition-sustainability plan beyond 2020.

## OBJECTIVE 2. STRENGTHENING REGIONAL RESPONSES TO TRAFFICKING AND THE EXPLOITATION OF MIGRANT WORKERS.



All investments reported below are delivering on work plans agreed with partners, meeting or exceeding performance expectations (see Annex B), and have been assessed as effective (see Annex D).

These investments contributed to SDGs 1, 5, 8, 10 and 16 by undertaking effective measures to eliminate human trafficking protect labour rights and to promote safe and secure working environments for migrant workers and social, economic and political inclusion. Investments support safe, fair and orderly migration for workers to seek cross-border employment opportunities. Women's full and effective participation and equal opportunities for leadership in public life are promoted through this work.

Programs under Objective 2 also work across multiple countries and different operating contexts where limited resources and other challenges can hamper program effectiveness, as noted above.


### ASEAN-Australia Counter Trafficking (AACT), formerly AAPTIP<sup>19</sup>

AACT commenced in November 2018. There was a short handover before AAPTIP concluded in December 2018. Regional government counterparts appreciated the smooth transition as we continued to build on our 15-year partnership with minimal disruption.

From January-December 2018, AAPTIP supported 50 TIP case investigations involving seven countries. Of the cases assessed, 63 per cent were found to be cooperating with counterparts on the investigation. In these

<sup>19</sup> Australia-Asia Program to Combat Trafficking in Persons





cases, investigations led to the identification of more than 66 possible trafficking victims in Thailand and Malaysia.. AAPTIP-delivered training programs, improved skills and knowledge of participants: over 80 per cent of traced participants reported they could apply new skills to their work. Improvements were found among investigators (including female police), prosecutors and the judiciary, where greater cooperation improved treatment of victims by the judiciary. There is evidence that case flow management by individual judges has improved, although systemic changes are yet to be realised. AAPTIP maintained its influence in regional and national TIP policy dialogue. By the end of 2018, ASEAN endorsed six regional anti-TIP policies and finalised the ASEAN Handbook on International Legal Cooperation in TIP Cases and ASEAN Practitioner Guidelines.

AACT will consolidate and extend our support to counter trafficking efforts, and enhance diplomatic engagement to strengthen our policy influence in ASEAN. The program (2018-28) is currently in its inception phase. Continuation of key AAPTIP staff into the inception period supported program continuity. Partner governments and ASEAN have confirmed commitment to the program. Many key findings from the 2017 review were addressed in the final stage of AAPTIP and will continue to inform strategic planning, operations and management approaches under AACT. DFAT is working closely with the implementing partner for AACT on program implementation, reporting and communications. Transition efforts are being reinforced by the ACTIP Implementation Project (AIP) delivered by The Asia Foundation 2018-2020. This project supports cross-sectoral work in ASEAN to implement its landmark anti-human trafficking convention and maintains critical ASEAN relationships during transition. AIP supported a number of sectoral body initiatives over the period, including (with technical support from AACT and TiA) a Lao PDR hosted ACMW initiative to strengthen capacity and coordination between labour inspectors and anti-human trafficking police.

### **TRIANGLE in ASEAN (TiA)**

In 2018-19, TiA continued to support migrant workers through its network of MRCs<sup>20</sup>, which expanded from 33 to 35 locations. MRCs served a total of 30,053 migrant workers (52 per cent female, 48 per cent male), providing counselling, legal assistance, information and training. 71 per cent of MRCs received co-funding from national governments in six countries (exceeding the target of 64 per cent), an indicator of increased sustainability. During 2018-19, TiA influenced government policy and achieved its target for the year. Cambodia passed the Labour Migration Policy 2019-2023 with drafting and financial support for tripartite 'plus' consultation from TiA. The program also provided technical support for an independent assessment of Law 72 governing the migration of workers from Vietnam, providing an important view in the revision of this law. In Thailand, a gap analysis led to improved legislative protection for all domestic workers, including migrants. TiA provided input to proposed Domestic Workers Regulations to the Ministry of Human Resources. A regional study on social protection for migrant workers in ASEAN, covering all 10 countries was released and offers a comprehensive policy baseline.

TiA engages with ASEAN through various forums including a flagship activity with the AFML<sup>21</sup>. The 11th AFML, held in Singapore, on the theme of Digitalisation was the leading regional activity in 2018. Australia's ongoing engagement through TiA has enabled us to establish strong relationships with key tripartite constituents and the large number of AFML delegates.

A 2019 mid-term evaluation concluded that TiA remains highly relevant for DFAT and for the region. DFAT will monitor implementation of the recommendations over the coming years.

### **Human rights and Security Cooperation**

The ASEAN and Mekong program supported deepening human rights engagement with AICHR<sup>22</sup>, including building ties between the Australian Human Rights Commission and AICHR and funding the DRiA program.

<sup>20</sup> Migrant Resource Centres

<sup>21</sup> ASEAN Forum on Labour Migration

<sup>22</sup> ASEAN Intergovernmental Commission on Human Rights





DRIa supported AICHR to develop the ASEAN Enabling Masterplan 2025: Mainstreaming the Rights of Persons with Disabilities which was adopted at the ASEAN Summit in November 2018. The investment continues to work with stakeholders to help implement the ASEAN Enabling Masterplan 2025.

We have commenced scoping of a new capacity-building program to support ASEAN's political-security pillar. It will focus on maritime, cyber cooperation and the ASEAN-Australia Women, Peace and Security Dialogue activities, as announced at last year's Special Summit.

## MUTUAL OBLIGATIONS

Australia's engagement with ASEAN is governed by the ASEAN-Australia Strategic Partnership (2014) and associated Plan of Action, which is divided into areas of cooperation under ASEAN's three pillars (Political-Security, Economic, Socio-Cultural). The overall purpose of the Strategic Partnership is to outline areas of shared interest and agree on priorities, including in development cooperation. The ASEAN and Mekong program contributes to all three pillars and investments are embedded in and/or closely engaged with ASEAN bodies and processes. Ministerial meetings, Senior Official's meetings and Ambassador-level engagement provide oversight to the relationship, including our programs.

On the economic pillar, Australia works directly with the ASEAN Secretariat (ASEC) to implement AADCP II and AECSP in support of the AEC, with ASEC providing significant in-kind contributions for project implementation, office space and corporate support. ASEAN's obligations under AADCP II are outlined in a program-level funding agreement, with the accountability of partners tracked and reported through the annual meeting of the Joint Planning and Review Committee.

One of AANZFTA's innovations was to incorporate economic cooperation as an integral part of the FTA. AECSP projects are overseen by AANZFTA's Joint Committee, chaired by Australia, New Zealand and Brunei (representing ASEAN) and the Joint Committee's subsidiary bodies. Through the development and implementation of AECSP projects, Australia can influence the regional economic integration agenda by working directly with ASEAN officials and sectoral bodies. This structure also creates strong connections between ASEAN and Australian officials working on specific issues, which is of long-term benefit to the relationship.

Regional level workplans for AAPTIP and TiA are developed in close consultation with the relevant ASEAN bodies from the other two pillars. The Senior Officials Meeting on Transnational Crime (Political-Security pillar) endorses the ASEAN-AAPTIP workplan and the ASEAN Committee on the Implementation of the ASEAN Declaration on the Protection and Promotion of the Rights of Migrant Workers (Socio-Cultural pillar) is represented on the Regional Steering Committee that endorses the TiA workplan.

Memoranda of Subsidiary Agreements for AACT are being signed with partner governments. Activities to be delivered under the AACT subsidiary agreements will support ASEAN Member States to meet ASEAN and national level responsibilities. ASEAN-ACT has commenced consultations and project planning with partner governments to inform implementation in 2020. Australia's engagement with countries implementing TiA is governed by Memorandum of Understandings with the ILO.

The GMWRP enjoys a high level of cooperation with Mekong governments and institutions, giving us the capacity to shape outcomes. For example, 2018-19 saw a renewal of our water partnerships with Myanmar and Thailand, and closer engagement with the MRC to support their new leadership regime at a time of shifting strategic dynamics in the sub-region.

The Program complements Australia's bilateral, regional and broader multilateral investments for Southeast Asia. A challenge is to ensure that all of our contributions are appropriately joined up to tell the full Australian development cooperation story in the region.



## PROGRAM QUALITY

The Program strengthened the quality of aid delivery, including through closer oversight of partners and sourcing relevant external technical expertise.

Aid Quality Checks (AQC) were undertaken on nine investments and Final Aid Quality Checks (FAQC) were completed on two investments. AQC ratings showed no investments requiring improvement and ratings overall remained satisfactory across most criteria. Effectiveness of investments remained adequate or above with some variation in gender ratings (see below). Risk management was consistently high across the program and remains a strength of the portfolio. The relevance of the portfolio to Australian and ASEAN interests and alignment with Australia's Foreign Policy White Paper is demonstrated in AQCs and program reports. Most investments were considered to have adequate M&E systems with dedicated resources for M&E, regular reporting and sex disaggregated data collection. A number of reviews have found that M&E could be further streamlined and strengthened, including more outcomes-focused reporting.

The ASEAN and Mekong Program contributed to the overall performance of DFAT through four Aggregate Development Results including:

- number of police and law enforcement officials trained (women and men) (AAPTIP);
- number of poor women and men with increased access to financial services (SHIFT);
- value of private sector investment leveraged (SHIFT/MBI)
- number of women and men trained in trade policy and regulation (AADCP II/AECSP)

Over the reporting period, the Program completed three large evaluations: SHIFT, TiA and AECSP. Under GMWRP, a final independent evaluation of Oxfam's Inclusion Project and a Mid-term Review of the MRC's 2016-2020 Strategic Plan was completed. Findings contributed to learning and improved effectiveness of these programs and planning for future investments. An independent evaluation of AADCP II is expected to be completed in the next reporting period.

Completion/transition activities were undertaken with two investments (AAPTIP and GMS-TTF).

Achievements and learning were shared with relevant stakeholders and are expected to inform future programming and policy decisions.

The Program is tracking well against its Equality and Inclusion Strategy. Highlights in 2018-19 were greater engagement with AICHR on disability rights and the development of the ASEAN Enabling Masterplan 2025: Mainstreaming the Rights of Persons with Disabilities. AQC ratings on gender equality for 2018-19 were mixed, with two lower and one higher. This highlights ongoing challenges in incorporating gender and inclusion analysis and considerations into the design and implementation of activities. We will continue to encourage our implementing partners to allocate resources to gender and inclusion expertise to ensure that these areas are addressed. The Program did not have a dedicated internal Gender Adviser over the reporting period and gender support to partners was provided by Program Managers and an external provider.

Examples of good equality and inclusion performance over the reporting period follow:

- SHIFT Gender Equality Fund (GEF) activities produced a toolkit to undertake self-assessments of Financial Service Providers practices and internal policies towards gender equality, women's participation, leadership in the workforce, and targeting of women as a specific client segment.
- MBI supported an industry accelerator with WISE<sup>23</sup> under the Women Innovation Challenge. WISE was the first competition held exclusively for women in the Mekong and of the 12 finalists, several have secured investment totalling over USD2.4 million.
- In Lao PDR, TiA reached over 1000 women working in garment factories with safe migration messaging, reflecting their potential onward international migration. In Myanmar, TiA supported women's peer and business groups facilitated by women-led civil society organisations; business and networking meetings reached over 700 women during the reporting period.

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<sup>23</sup> Women's Initiative for Start-ups and Entrepreneurship

- CLIP III supported a workshop on “Evidence and Interviewing Skills,” that was led by a female facilitator sharing first-hand experience on how she addressed challenges as an investigator when seeking evidence in industries susceptible to gender-based discrimination. The workshop also included a module on diversity and the benefits of gender diversity in investigative work.
- The GMWRP Oxfam’s Inclusion Project is widely recognised by partners across the Greater Mekong as making a significant contribution towards gender equality in the water sector. Highlights include: more informed and confident women leaders speaking through Women on Air Radio Program in Cambodia on fisheries and water management; piloting the Gender Impact Assessment tool in parts of Laos and Vietnam, which increased awareness of women's roles in hydropower development, and appointment of women representatives in the committee to manage the Daw Lar Community Lake in Myanmar.
- UNCDF SHIFT included disability inclusion criteria in the terms of reference for its 2019 women’s MSME Innovation Fund. This resulted in projects with a disability focus being selected, including one project providing digital business/financial advice to women with disabilities in ASEAN.
- Increased collaboration between regional networks of Disabled Peoples Organisations was supported by a Memorandum of Understanding (MoU) between two key regional networks, the General Election Network for Disability Access (AGENDA) and the ASEAN Disability Forum (ADF). The MoU has resulted in more effective advocacy and implementation of the ASEAN Enabling Masterplan 2025: Mainstreaming the Rights of Persons with Disabilities through joint planning and activities.
- SHIFT extends financial access to rural women and ethnic minorities. A commercial bank partner in Vietnam is working with an INGO to deliver mobile e-wallets to ethnic minority women in remote rural areas. A 2018 field mission reviewed the impact of the e-wallet, used by Thai ethnic savings and loan groups. In Myanmar a partnership with WaveMoney informed the introduction of ethnic language voice-overs to a financial literacy application and Awba's 1-STOP digital convenience store service expanded into the States of Shan, Rakhine and Kachin (where there are large populations of ethnic minorities).
- The MBI innovation challenges include criteria on social impact and inclusion in assessing finalists. For example, 2018 Fintech Vietnam Challenge finalist, Enable Code, specifically targets the recruitment of people with disability. The winner of the 2018 Mekong Innovative Start-ups in Tourism (MIST) accelerator, Bamboo Lao, is a manufacturer of sustainable bamboo straws, provides employment within small villages and works with the Xonpao Disabled Association to involve disabled Laotians in production.



## MANAGEMENT ACTIONS

There are challenges in delivering a diverse portfolio of investments through a range of implementing partners in multiple countries. We have worked to ensure all new investments contribute to the overarching AIP objectives and to ASEAN's development goals. At the same time, the Program retained flexibility to respond to emerging priorities within the ASEAN-Australia Plan of Action under our Strategic Partnership, implementation of the ASEAN-Australia Special Summit announcements and Australia's Foreign Policy White Paper. The Program is performing well and has achieved its performance benchmarks (see Annex B).

The review of the Aid Investment Plan in 2019-20 will provide an opportunity to consider the ASEAN and Mekong Program's alignment with Australia's strategic objectives, as outlined in the Foreign Policy White Paper. Some of the management actions listed below have been extended over from the last reporting period as they remain relevant and DFAT will continue to implement these measures. A few new actions have been identified for 2019-2020.

Continue to effectively communicate about the contribution of our regional program:

- *inform ASEAN leaders, Ministers and senior officials of program achievements and our demonstrated support of ASEAN-Australia cooperation.*
- *maintain engagement and advocacy with key ASEAN stakeholders (including ASEC) to ensure alignment with plans and priorities of ASEAN sectoral bodies.*
- *maintain internal communications with bilateral colleagues and regular reporting on the program's alignment with Australia's strategic priorities.*
- *ensure partner communications are consistent with Australian communications policy and branding guidelines.*
- *harness complementary Australian aid investments in a joined-up way for greater influence in ASEAN.*

Continue to implement and support key areas of ASEAN-Australia cooperation announced at the ASEAN-Australia Special Summit, including counter trafficking, connectivity, Women Peace and Security and other initiatives where appropriate.

Undertake the design work for new phases of two economic programs (AADCP II and AECSP) and for new programs in security cooperation and connectivity.

Implement a new phase of the GMWRP beyond 2019 and consolidate our bilateral and regional working partnerships with Mekong governments and other water governance actors.

Continue to strengthen and improve gender mainstreaming through implementing the 2019-20 action items in the Program's Equality and Inclusion Strategy and working with program partners to ensure adequate resources are dedicated to gender and inclusion expertise and related policy work.

Strengthen program performance and use our Quality Investment Support Service to ensure our designs, monitoring, evaluations and reporting aligns with DFAT quality standards and incorporates learning into new designs and plans where appropriate.

Maintain a coherent portfolio of investments that are flexible, adaptive and fit for diverse operating contexts and stakeholders and are able to influence regional level outcomes,

Actively monitor risks and implementation challenges of investments and incorporate them into new designs and plans where appropriate.





## ANNEX A - PROGRESS IN ADDRESSING MANAGEMENT RESPONSES

Management responses identified in 2017-18 APPR	Rating	Progress made in 2018-19
Our ASEAN Mission will implement counter-trafficking and connectivity initiatives announced at the Special Summit and support other initiatives where appropriate.	Achieved	AACT program commenced in November 2018 and is in inception phase. AADCP II continued support for ASEAN connectivity (see above) and design for new Connectivity Initiative commenced.
Our ASEAN Mission will implement the 2018-19 action items in the Program's Equality and Inclusion Strategy, and work with program partners to ensure adequate resources are dedicated to gender and inclusion expertise and related policy work.	Partly Achieved	Program continues to track well against the Strategy and overall good AQC gender ratings. Some programs employ gender specialists, have adequate resources and have taken steps on disability (examples above). There is more work to do with others on gender and with all on disability.
Continue to inform ASEAN leaders, Ministers and senior officials of program achievements and support to ASEAN-Australia cooperation, including greater use of ASEAN forums and policy organisations.	Achieved	ASEAN Mission used ASEAN meetings and forums to inform ASEAN leaders and officials of program achievements and Australia's strong ASEAN-Australia cooperation.
Maintain engagement and advocacy with key ASEAN stakeholders (including ASEC) to ensure alignment with plans and priorities of ASEAN sectoral bodies.	Achieved	ASEAN Mission maintained engagement and advocacy with ASEAN and other ASEAN stakeholders, including the ASEAN Committee of Permanent Representatives, AICHR, SOMTC, ACMW, ACWC and ASEC.
Maintain internal communications with bilateral colleagues and regular reporting on the program's alignment with Australia's strategic priorities.	Achieved	Regularly report on program alignment with strategic priorities and maintain up to date factsheets. Support for bilateral post to participate in program where possible. Input sought from regional posts for implementation of bilateral GMWRP activities.
Ensure partner communications are consistent with Australian communications policy and branding guidelines.	Achieved	Partners are made aware of communication/branding policies through agreements, approvals and annual Partner Performance Assessments. Active monitoring ensures compliance and there has been overall improvement.
Continue to harness complementary Australian aid investments in a joined-up way for greater influence in ASEAN	Achieved	Work with ASEAN Secretariat as implementing partner for AECSP and AADCP II. Three programs (TiA, AIP, AACT) cooperated on labour inspectors workshop. DRIA partner supports other Mission investments (SHIFT and AADCP II).
Step-up engagement with Mekong governments for greater cooperation and coordination on water management issues	Achieved	Program successfully works with all Mekong Governments: 1) new MOU with Myanmar, focusing on river basin management and young water professionals; 2) agreement with Thailand and Office of National Water Resources to upscale Australia-Thailand water partnership on water data and water pricing; 3) agreement with Vietnam to strengthen water partnership focusing on new water charging regime for the irrigation sector; 4) strong relations with Laos on water resources management and dam safety; and 5) new Australia Mekong Water Facility set up to facilitate mobilisation of Australian expertise.
Develop a high quality and strategic next phase of engagement for Australia in Mekong water governance that will identify key actors and factors of change.	Achieved	New Strategic Direction set for the next phase of the GMWRP after consultation with all Mekong Posts and Canberra. Prime Minister announced new 5-year phase of Water Program at EAS. Initial scoping complete. New Program Framework to replace 2014-19 Sector Investment Plan being prepared.
Continue to use the Quality Investment Support Service to improve design, monitoring, evaluation and reporting that aligns with DFAT quality standards and policies on gender and inclusion.	Achieved	Program continues to draw on QISS to improve design, M&E, and reporting and support with AQCs, FAQC and APPR reporting against performance benchmarks.
Actively monitor implementation of all evaluation recommendations and incorporate them into new designs and plans where appropriate.	Achieved	Program managers routinely monitor evaluation recommendations to ensure continual improvement. For example, the new AACT design adopts recommendations from the AAPTIP MTR.
Continue to ensure that investments are flexible, adaptive and fit for diverse operating contexts and are also strategically coherent and able to influence regional level outcomes	Achieved	Program works with partners to adapt existing investments and new program designs are increasingly flexible and focused on regional level outcomes.
Actively monitor risks and implementation challenges of investments and incorporate them into new designs and plans where appropriate	Achieved	All investments maintain and update risk registers on a regular basis. Risks and challenges are discussed with partners to ensure effective management and incorporation into new activity designs.

### Note:

- Achieved. Significant progress has been made in addressing the issue
- Partly achieved. Some progress has been made in addressing the issue, but the issue has not been resolved
- Not achieved. Progress in addressing the issue has been significantly below expectations

# ANNEX B – PERFORMANCE BENCHMARKS

## 1 Progress towards Performance Benchmarks in 2018-19

Aid objective	Performance benchmark	Rating	Progress in 2018-19
Enabling regional economic cooperation and inclusive growth	Evidence of high quality and timely economic research, policy advice and policy implementation support to ASEAN on priority AEC issues (Australia's economic research, policy advice and implementation is high quality, timely and supports priority AEC issues)	Achieved	AADCP II met its performance benchmark. Several program reports and publications were finalised with positive feedback from stakeholders, noting reports were relevant and useful for policymaking. Most program outputs were delivered in a timely manner and time sensitive products, such as the ASEAN Sustainable Urbanisation Strategy (ASUS) and the ASEAN Investment Report 2018 met deadlines. AADCP II's publications continued to support AEC priority issues in sustainable urbanisation, energy, tourism and connectivity, including: a study to progress implementation of ASEAN Power Trade to advance multilateral trading; the ASUS which provides a common framework for ASEAN Member States (AMS) to develop smart and sustainable cities; a study to advance implementation of a mutual recognition arrangement for tourism professionals which was adopted by Ministers in January 2019; manuals for the establishment of common certification and accreditation systems for ASEAN Good Agriculture Practices; a framework for assessing and improving ASEAN infrastructure planning and productivity; and the ASEAN Investment Report 2018: Foreign Direct Investment and the Digital Economy in ASEAN which was disseminated through the ASEAN Business and Investment Summit and through ASEC networks including to the private sector.
	Evidence of AECSP capacity building projects supporting AANZFTA implementation (AECSP capacity building projects support AANZFTA implementation)	Achieved	AECSP met its performance benchmark. The AECSP Independent Review 2018-19 noted that AECSP outputs made important contributions to advancing AANZFTA implementation and to advancing regional economic integration. In 2018, 1,216 participants from AMS (958-government; 258-private sector) benefitted from AECSP capacity development activities. For instance, AECSP helped build technical and regulatory capacity to implement Sanitary and Phytosanitary (SPS) measures helping facilitate trade in agricultural products. AECSP supported trainings on AANZFTA Rules of Origin for officials and industry representatives from nine AMS, that contributed to increased business use of AANZFTA and AMS participation in regional supply chains. CLIP III supported AANZFTA implementation by building regional networks of competition institutions through regional meetings and trainings. In 2018-19, CLIP benefitted 299 participants (48% female) through workshops, secondments, and expert placements in ASEAN, Australia and NZ.
	Better functioning national policy and financing environment for SME scale-up (Target: Evidence of effective implementation of private sector development regulations, policies and programmes, financing mechanism, expanded market access - focus on women led enterprises and young entrepreneurs)	Achieved	MBI met its performance benchmark. It has improved the business enabling environment for SMEs in CLMV. In 2018, there were two additional business regulations created or changed, bringing the total to 18 – (i) the Provincial Facilitation for Investment and Trade Index in Lao PDR (ProFIT) used as a means of prosecuting regulatory reform, enhancing transparency and thus improving future investment settings for SMEs; (ii) the launch of the Myanmar Companies Online Registry (MyCO) which provides a transparent and easier means of business registration in Myanmar leading to about 20,000 registrations. MBI's successful Fintech Challenge Vietnam stimulated interest across several AMS and is supporting a more regionally integrated fintech market for businesses. An additional USD15.3million of private sector funds were leveraged, for example, by companies graduating from MBI's current and past accelerator programs and other MBI supported investor networks. In 2018, an additional industry accelerator was launched and completed - WISE Women Innovation Challenge - the first competition exclusively for women in the Mekong region; the 12 finalists secured investments totalling over USD2.4 million.
	Number of challenge fund grant agreement frameworks that include women's financial inclusion under implementation – (Target: 2 new agreements)	Achieved	SHIFT met its performance benchmark. In 2018/19, 3 new remittance agreements were signed, exceeding targets with 80,000 transfers (see above). 12 projects were under implementation and 8 on track against set program milestones (2018). The Challenge Fund Facility has been further applied in Indonesia, and across the Asia-Pacific (including ASEAN) to support Women's MSME innovation funds. In 2018, over 516,000 additional direct beneficiaries (38% women) accessed services.



Strengthening regional responses to trafficking and the exploitation of migrant workers	Legal frameworks in place for pilot implementation of the CBTA. (Target: Updating of CBTA has been informed by pilot learning)	Achieved	GMS TTF met its performance benchmark. Operational implementation of the CBTA came into force from 1 August 2018 and has enabled the implementation of the CBTA pilot. Updating of CBTA provisions and future route extensions mapping were informed by the pilot operations to enable their future availability for the pilot extension. M&E conducted during the pilot operations continue to inform the practical operation of the CBTA and adoption of the CBTA by GMS Member States. GMS Ministers extended the CBTA pilot implementation for an additional two years until 31 May 2021 in line with the expanded routes and border crossings.
	Strengthened institutional water resource management frameworks (Target: 4)	Achieved	GMWRP met its performance benchmark with 4 frameworks strengthened. It (i) supported MRC to implement a critical operational requirement under the 1995 Mekong Agreement, the Procedure on Prior Notification, Prior Consultation and Agreement (PNPCA), most recently for the proposed Pak Lay hydropower project on the mainstream of the Mekong River which culminated in a Joint Action Plan agreed by all four MRC Member Countries; (ii) supported MRC to renew its formal agreement on water data sharing with China; (iii) aided Myanmar Government to partner with IFC preparing a high-quality Strategic Environmental Assessment of the Myanmar Hydropower Sector; and (iv) helped civil society to influence key water governance processes across the region, including reshaping Vietnam's water pollution law.
	Number of TIP case investigations in which partners are cooperating (Target- 5 or more TIP case investigations in which partners are cooperating)	Achieved	AAPTIP has exceeded its performance benchmark. From January-December 2018, 50 TIP cases were recorded involving 7 countries- Cambodia, Indonesia, Malaysia, Myanmar, Philippines, Thailand and Vietnam. The cases led to identification of more than 66 possible TIP victims in Thailand and Malaysia. Most Significant Change stories undertaken by the program demonstrated that prosecutors were cooperating more and directing the investigations of TIP cases, leading to better evidence collection. From January – June 2019, AACT supported one partnership (Thailand-Myanmar) involving 27 cases, 20 continued from AAPTIP and 7 new cases.
	% of people trained under AAPTIP projects recording follow-on skill and knowledge changes demonstrated in the workplace (Target: 50 % of sample reporting change)	Achieved	AAPTIP has exceeded its performance benchmark. In the 2 tracer studies completed in 2018-19, over 80% of respondents reported using skills and knowledge in the workplace. In one tracer study, 89% of the Filipino judges (19 respondents), reported applying newly acquired skills and knowledge focused on: definitions of TIP law, victims' psychology and gender sensitivity, knowledge sharing outside the courtroom, and preservation of evidence in TIP cases. In the tracer study with Vietnamese police, 100% of respondents (13 respondents) reported follow-on application of skills and knowledge. These changes contributed to positive outcomes for the respondents, for the victims they worked with and improved casework. Over the life of AAPTIP, 70% (n = 231: 42 % Female) of traced participants in AAPTIP capacity development have been able to apply new skills in their work.
	Number of women and men who receive support services through Migrant Resource Centres (Target: 12,000-W43%/M57%)	Achieved	TiA has exceeded its performance benchmark. MRCs served a total of 30,053 migrant workers in this reporting period (M:48%/W:52%), providing counselling, legal assistance, information, education and training, and networking. The MRC network also expanded from 33 to 35 locations over this reporting period.
	Number of policies adopted or amended with ILO input on labour protection and gender equality for women and men migrant workers. (Target: 5)	Achieved	TiA has achieved its performance benchmark. Through technical assistance, ILO has supported protection policies to be adopted or amended: (1) Cambodia passed the Labour Migration Policy 2019-2023 with guidance in drafting, technical support and financial support for tripartite 'plus' consultation from TiA; (2) an independent assessment of Law 72 governing the migration of workers from Vietnam, an important voice in the revision of this law; (3) In Thailand, a gap analysis mapped the cohesion between the Thai legal framework and the ILO's Domestic Work Convention (No. 189), to improve legislative protection for all domestic workers, including migrants, and potentially led towards ratification of the Convention; (4) important changes were made to the revised version of the Thailand Royal Ordinance concerning the Management of Migrant Workers which was adopted in March 2018; (5) a regional study on Social protection for migrant workers in ASEAN was released in 2018. This covered all 10 ASEAN countries, and offered a policy baseline social protection of migrant workers in ASEAN. TiA provided comments on proposed Domestic Workers Regulations 2019 to the Ministry of Human Resources, Malaysia, and will support this process as requested.

**Note:**

- Achieved. Significant progress has been made and the performance benchmark was achieved
- Partly achieved. Some progress has been made towards achieving the performance benchmark, but progress was less than anticipated.
- Not achieved. Progress towards the performance benchmark has been significantly below expectations

## 2 Performance Benchmarks for 2019-20

Aid objective	Performance Benchmark	2019-20 (Performance Benchmarks may be updated as part of the Program's AIP revision in 2019)	2020-21 (Performance Benchmarks may be updated as part of the Program's AIP revision in 2019)
<b>Enabling regional economic cooperation and inclusive growth</b>	Evidence of high quality and timely economic research, policy advice and policy implementation support to ASEAN on priority AEC issues	Survey results confirmed satisfaction by ASEAN regarding quality and timeliness of relevant research, advice and support.	Survey results confirmed satisfaction by ASEAN regarding quality and timeliness of relevant research, advice and support.
	Evidence of AECSP capacity building projects supporting AANZFTA implementation	20 capacity building projects support AANZFTA	20 capacity building projects support AANZFTA
	Number of new challenge fund grant agreements that improve women's financial inclusion under implementation	2	N/A (Results reporting only)
	Strengthened institutional water resource management frameworks	4	4
<b>Strengthening regional responses to trafficking and exploitation of migrant workers</b>	Number of TIP case investigations in which partners are cooperating (5 or more TIP case investigations)	10 or more TIP case investigations	10 or more TIP case investigations
	Percentage of women and men trained under AAPTIP/AACT recording follow-on skill and/or knowledge changes demonstrated in the workplace.	50 percent or more of sampled people reporting change	50 percent or more of sampled people reporting change
	Number of women and men who receive support services through Migrant Resource Centres.	15,000 (W44%/M56%)	15,000 (W45%/M55%)
	Number of policies adopted or amended with ILO input on labour protection and gender equality for women and men migrant workers.	4	4



## ANNEX C - EVALUATION PLANNING

### 1 LIST OF EVALUATIONS COMPLETED IN THE REPORTING PERIOD

Investment number and name (if applicable)	Name of evaluation	Date completed	Date Evaluation report Uploaded into AidWorks	Date Management response uploaded into AidWorks	Published on website
INL413 Shaping Inclusive Finance Transformations	Program Independent Mid-term Review	20 November 2018	19 December 2018	19 December 2018	30 November 2018
INI358 AANZFTA Economic Cooperation Support Program	Independent Review	19 February 2019	September 2019	October 2019	October 2019
INL499 TRIANGLE in ASEAN	Independent Mid-term Evaluation	25 March 2019	September 2019	October 2019	October 2019
INL191 Oxfam Inclusion Projects	Independent Final Evaluation	1 April 2019	August 2019	TBC	TBC
INL223 Supporting MRC and Mekong Governments	Strategic Plan 2016-2020 Mid-Term Review	22 January 2019	August 2019	TBC	TBC

### 2 LIST OF PROGRAM PRIORITISED EVALUATIONS PLANNED FOR THE NEXT 12 MONTHS

Evaluation title	Investment number and name (if applicable)	Date – planned commencement (month/year)	Date – planned completion (month/year)	Purpose of evaluation	Evaluation type
External Review	INH157 ASEAN Australia Development Cooperation Program Phase II	September 2019		<ul style="list-style-type: none"><li>- Assess program's performance</li><li>- Inform current phase and new design</li></ul>	DFAT-led
Independent Final Evaluation	INL215 IFC Sustainable Hydropower in Mekong Countries	June 2019	October 2019	<ul style="list-style-type: none"><li>- Assess program's performance</li><li>- Inform design of next phase</li></ul>	Partner-led

## ANNEX D- AID QUALITY CHECK RATINGS

### 1 AQC RATINGS

AQC investment performance over the previous 12 months and where available last year's AQC ratings.

Investment name	Approved budget and duration	year on year	Relevance	Effectiveness	Efficiency	Monitoring and Evaluation	Sustainability	Gender equality	Risks and Safeguards *
ASEAN-Australia Development Cooperation Program Phase II	\$62.4m	2019 AQC	N/A	4	4	N/A	N/A	3	Y
	2007-2019	2018 AQC	6	5	6	4	5	4	Y
AANZFTA Economic Cooperation Support Program	\$32.7m	2019 AQC	N/A	4	3	N/A	N/A	3	Y
	2008-2019	2018 AQC	6	5	4	4	5	4	Y
Mekong Business Initiative	\$13.3m	2019 AQC	N/A	5	5	N/A	N/A	4	Y
	2013-2018	2018 AQC	6	5	6	4	4	4	Y
Shaping Inclusive Finance Transformations in ASEAN Program	\$9.9m	2019 AQC	N/A	5	4	N/A	N/A	5	Y
	2014-2020	2018 AQC	5	5	4	5	4	5	Y
Oxfam-Civil Society Engagement in Water Governance	\$9m	2019 AQC	N/A	5	5	N/A	N/A	5	Y
	2013-2020	2018 AQC	5	5	5	5	4	5	Y
IFC Sustainable Hydropower in Mekong Countries	\$8m	2019 AQC	N/A	5	5	N/A	N/A	4	Y
	2013-2020	2018 AQC	5	5	5	5	5	4	Y
Supporting Mekong Water Resources Management	\$11.15m	2019 AQC	N/A	4	4	N/A	N/A	3	Y
	2014-2021	2018 AQC	6	4	4	4	4	3	Y
TRIANGLE in ASEAN	\$20m	2019 AQC	N/A	5	4	N/A	N/A	5	Y
	2015-2025	2018 AQC	6	5	4	4	5	5	Y
Emerging Disease Risk Reduction- Mekong- Live Animal Marketing and Production	\$5.89m	2019 AQC	N/A	4	4	N/A	N/A	5	Y
	2011-2019	2018 AQC	5	4	3	4	3	4	Y

\*Note: Risks and safeguards were not rated in 2017. In 2018, AQCs recorded whether the investment had a renewed or updated risk register and whether actions were being taken to mitigate risks, and further actions identified as required.

## 2 FAQC RATINGS

Investment name	Approved budget and duration	Overall rating	Relevance	Effectiveness	Efficiency	Monitoring and Evaluation	Sustainability	Gender equality	Risks and Safeguards
Mekong Trade and Transport Facilitation	\$6m 2011-18	4	5	4	4	4	4	4	
Australia-Asia Program to Combat Trafficking in Persons	\$50m 2013-18	4	6	4	4	3	4	4	

### Definitions of rating scale:

#### Satisfactory (4, 5 and 6)

6 = Very good; satisfies criteria in all areas. 5 = Good; satisfies criteria in almost all areas.

4 = Adequate; on balance, satisfies criteria; does not fail in any major area.

#### Less than satisfactory (1, 2 and 3)

3 = Less than adequate; on balance does not satisfy criteria and/or fails in at least one major area.

2 = Poor; does not satisfy criteria in major areas. 1 = Very poor; does not satisfy criteria in many major area.