



Integrated Capacity Building Programme 2009 - 2011

Mid-Term Review

FINALREPORT

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I hope that the results of the present Mid-Term Review will contribute to further enhancing the capacity development support of ICBP to MRCS, NMCs and related Line Agencies and to the realization of the objectives of the programme.

Please mind that the viewpoints expressed in this report are those of the evaluator and do not necessarily reflect the opinion of MRC, NMCs and Government and Development partners.

Frank Noij, 22 February 2012.

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Acronyms & Abbreviations

AIP	Agriculture and Irrigation Programme
AusAID	Australian Agency for International Development
BDP	Basin Development Plan Programme of MRC
CCAI	Climate Change and Adaptation Initiative of MRC
CDAP	Capacity Development Action Plan
CEO	Chief Executive Officer
CNMC	Cambodia National Mekong Committee
CTA	Chief Technical Adviser
DMP	Drought Management Programme of MRC
DWR	Department of Water Resources Lao PDR, Thailand
DWRM	Department of Water Resources Management, Vietnam
EP	Environment Programme of MRC
FAS	Finance and Administration Section
FP	Fisheries Programme of MRC
FMMP	Flood Management and Mitigation Project of MRC
HR	Human Resources
HRS	Human Resources Section
ICBP	Integrated Capacity Building Programme of MRC
ICCS	International Cooperation and Communication Section of MRCS
IKMP	Information and Knowledge Management Programme of MRC
ISH	Initiative on Sustainable Hydropower of MRC
ITSP	Integrated Training Strategy and Programme
IWRM	Integrated Water Resources Management
JC	The MRC Joint Committee
JRP	Junior Riparian Professionals Programme
LA	Line agencies, local authorities of MRC Member Country
LMB	Lower Mekong Basin
LNMC	Lao National Mekong Committee
MDBA	Murray Darling Basin Authority
M&E	Monitoring and Evaluation
M-IWRMP	Mekong IWRM Project of MRC
MRC	Mekong River Commission
MRCS	Mekong River Commission Secretariat
MTR	Mid-Term Review
NAP	Navigation Programme
NMC	National Mekong Committee
NMCS	National Mekong Committee Secretariat
OECD-DAC	Organization for Economic Cooperation and Development - Development Assistance Committee
OSP	Office of the Secretariat of MRC in Phnom Penh
OSV	Office of the Secretariat of MRC in Vientiane
PIP	Programme Implementation Plan
PMC	Planning, Monitoring and Communication
PO	Programme Officer
TNMC	Thai National Mekong Committee
TOR	Terms of Reference
TOT	Training of Trainers
VNMC	Vietnam National Mekong Committee

EXECUTIVE SUMMARY

- i. The Integrated Capacity Building Programme (ICBP) is aiming to develop capacities of MRC, NMCs and prioritized national agencies to increase their effectiveness in ensuring the sustainable development of the Mekong and related resources. The programme includes building of capacities on individual staff as well as on organizational level and is meant to address the longer term capacity needs of MRC, NMCs and related national agencies. Various parts of the programme are funded by different donor agencies, including AusAID, New-Zealand Aid and Finland bilateral support.
- ii. The present review is a Mid-Term assessment of achievements so far in order to inform the remainder of the programme period and advise on capacity building in MRC beyond this period. The objectives of the evaluation focus in particular on four of the five DAC Evaluation criteria i.e. relevance, effectiveness, efficiency and sustainability. The Mid-Term Review consisted of various stages, in which existing documentation was reviewed, briefing and de-briefing meetings were conducted and data gathered from various stakeholders concerned, data analyzed and draft and final reports prepared. The data gathering process included staff of MRCS, visits to both OSV and OSP, MRC programmes, NMCSs, prioritized national agencies and selected service providers.
- iii. The mid-term review of ICBP takes place in a period of considerable change within MRC, including its Secretariat and the NMCs. The adoption of the IWRM-based Lower Mekong Basin Development Strategy means a change in approach towards comprehensive basin planning. The strategy is an important component in the wider MRC Strategic Plan 2011-2015, which aims at heightening MRC's relevance through more sustainable operations, greater stakeholder ownership and more effective integration with national systems. The strategy is a step in a longer term process of decentralization of MRC core functions, in which gradually over the next 20 years the MRC Member Countries will directly implement and finance selected core functions.
- iv. ICBP objectives appear highly **relevant** as they are in line with the strategies of MRC over time, with development partners' strategies and respond to the needs of MRCS, MRC programmes, NMCSs and prioritized National Agencies. With the magnitude of the capacity agendas on both individual staff as well as organizational levels, ICBP will need to strategize its support and take on a systemic approach.
- v. In terms of **effectiveness**, programme results have been behind expectations, which apply to the level of outcomes as well as to the level of outputs of the ICBP results framework. In making this assessment one needs to bear in mind the high aspirational level of the program outcomes which cannot be expected to be attained during the ICBP programme period. Moreover, the outcomes cannot necessarily be realized through the completion of the specific outputs under each of the outcomes. In this regard there is a need to enhance the results framework in order to specify more realistic expectations of the programme for the remainder of the programme period.
- vi. Nonetheless there are several achievements in each of the outcome areas concerned which provide good opportunities to enhance results in the second part of the programme. Gender mainstreaming appears to have booked some important success, which is partly due to the longer term effort that has been put to gender through the gender mainstreaming project. Another success concerns the enhancement of the quality of the JRP project under ICBP management and at present a training system for Riparian Professionals is in place with batches of 10 professionals being trained at a time.
- vii. There is a lack of monitoring data on the level of outputs and outcomes. Many of the means of verification in the programme results framework concern studies which have usually not been

conducted in practice. This enhances the activity-driven approach of the programme. The focus on activities is also evident from the first and second PIP, which do not contain an assessment of the extent to which outcomes have been achieved and to which extent these are expected to be realized through implementation of identified activities. This severely limits the extent to which the programme can practice results-based management.

- viii. Important aspect of the design of the ICBP is its focus on individual staff as well as organizational capacities. So far, the activities on both levels are mostly developed separately as part of different programme outcomes. It is though the inter-relationship between the two levels that often makes change happen and the programme will need to pay more attention to the linkages between these two levels. Monitoring of output and outcome level changes will be an important way to identify what is working in terms of activities on both levels and what constraints are faced so that these can be addressed.
- ix. In terms of **efficiency** ICBP staffing constraints have played an important part in delaying many of the activities that were planned in the project period under review and have limited the outputs and outcomes reached. Moreover, policy support from senior management for ICBP to move beyond providing training, to address issues across the organization and focus more on organizational development, has not always been sufficient which has affected programme implementation.
- x. Over time ICBP has managed to find its place in the organization, vis-à-vis other MRC programmes as well as regarding NMCs and related National Agencies, and has shown what value it can add. While ICBP is playing a considerable role in the process of riparianization and has identified issues to support, the role of ICBP in the process of decentralization is much less clear so far. With the present development of implementation plans for the Basin Development Strategy and the decentralization process ICBP will need to take a pro-active approach to these processes in a supportive and facilitative role, using its expertise to provide capacity related support to enhance guidance and management of these processes. ICBP on the other hand will need to remain flexible enough to adapt its programming to the changing support requirements of these processes over time.
- xi. Disbursement rates of the ICBP have remained below expectation at an overall rate of about 41 %. With most staff including the CTA on board at the start of the second part of the programme and with a clearer focus of ICBP support expectation is that the programme will be able to accelerate spending in the coming programme period.
- xii. Governance arrangements of the ICBP vary in the extent to which these enhance programme implementation. The steering committee as well as coordination amongst donors have substantially benefitted programme implementation. The location of ICBP under the Human Resources Section on the other hand has limited the programme's opportunities in particular in building capacities on organizational level and addressing competencies of staff on senior management level. The location of ICBP is presently under discussion. It appears that location of ICBP as one of the service sections to programmes and other parts of the organization would provide the best opportunity for ICBP to realize its objectives. Such a location would mean the establishment of a designated unit within the organization to support capacity development, one of the core functions of MRC, and to address issues concerned in the short as well as longer term. It would allow ICBP to move beyond being a training provider to address some of the underlying and more systemic issues of organizational capacities and in this way contribute to more sustainable results. It would, moreover, put ICBP in the right position to provide the necessary support to MRC's organizational transition process as outlined in the MRC Strategic Plan.

- xiii. **Impact** of ICBP is identified at the organizational level, including enhanced capacities in MRC, NMCs and prioritized national agencies. At present evaluability at this level is limited with broad indicators and no baseline data available. In addition to intermittent assessment of more specific impact level indicators, monitoring of output and outcome level changes will need to be strengthened in the second part of programme implementation in order to improve the evaluability of the programme and to inform decision-making on further support to capacity building in MRC beyond mid-2013.
- xiv. **Sustainability** of results so far is limited. The present training approach faces multiple constraints including high levels of staff turn-over as well as issues of selection of trainees. With hardly any tracer studies conducted it is not clear what the medium term effects of most trainings are. It is time for ICBP to pay systematic attention to evaluation of the medium term effects of training, to address some of the underlying organizational constraints to performance and to explicitly link work on individual staff level with work on organizational issues. Moreover, there appear options to take up a more systemic approach to training. Such an approach could include working with regular IWRM training providers as well as with those institutes that train civil servants, to enhance their training curricula and approach, making use of the expertise in MRC programmes. Such a way of working could substantially improve the reach of training and would enhance the sustainability of results.
- xv. **Recommendations** (abridged)
- Continue the implementation of ICBP with the following adaptations:
 - Identify the capacity building priorities for ICBP in the coming two year period in line with the MRC strategic plan, making use of the options identified during this mid-term review and adapt the PIP 2011-2013 accordingly
 - Adapt the location of ICBP in the MRCS organizational structure in order to enhance the ability of the programme to address the various capacity related issues on organizational level. The option of ICBP location in a new service providing section (see organizational chart on page 16) appears the most adequate position for ICBP to provide the necessary support, in particular to organizational aspects as part of MRC's transition process as outlined in the MRC Strategic Plan
 - Further raise ICBPs profile to become a well-known supporter to the quality of capacity development processes within MRC, NMCs and related Line Agencies
 - Enhance the ability of the programme to manage for development results and to use results based management to inform the process of capacity building
 - Enhance the approach to gender by focus on incorporation of gender in the design phase of programmes, including CDAP and enhancing effects through a leveraging approach in particular in building capacities of NMCs and prioritized Line Agencies
 - Further refine the JRP project, and build on the improvements made so far
 - Plan for continuation of ICBP beyond 2013, in order to ensure longer term support to the MRC capacity building process.

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1 INTRODUCTION

- 1.1 The Integrated Capacity Building Programme (ICBP) is aiming to develop capacities of MRC, NMCs and prioritized national agencies to increase their effectiveness in ensuring the sustainable development of the Mekong and related resources. The programme includes building of capacities on individual staff as well as on organizational level. It builds on the Integrated Training Strategy and Programme (ITSP) and other capacity related assessments and activities including the Independent Organisational, Financial and Institutional Review of 2007, the Junior Riparian Professionals project, the MRC Internships, the Gender Mainstreaming Project and training activities under the Operating Expenses Budget (OEB).¹
- 1.2 The programme is meant to address the longer term capacity needs of MRC, NMCs and related national agencies. The programme includes four outcomes, focusing on building capacities for integration of IWRM principles into policy making, planning and implementation; support to building MRC's and NMC's organizational capabilities; support the mainstreaming of gender into IWRM work; and establishing a sustainable capacity building mechanism to support the work of MRC. The full programme results framework is presented as part of Annex 1. Various parts of the programme are funded by different donor agencies, including AusAID, New-Zealand Aid and Finland bilateral support, which agencies also support other parts of MRC's programming.² Moreover, part of the funds of the OEB is used for training of staff of the MRCS, NMCs and prioritized Line Agencies, which is integrated within the ICBP. Programme implementation started mid-2009 and is meant to continue through 2013.
- 1.3 The present review is a Mid-Term assessment of achievements so far in order to inform the remainder of the programme period and advise on capacity building in MRC beyond this period. The objectives of the evaluation focus on four of the five DAC Evaluation criteria i.e. relevance, effectiveness, efficiency and sustainability. Given the mid-term stage of the programme the criterion of impact is less applicable. The review included a focus on gender as well as on the use of results based approaches in programme implementation.
- 1.4 The Mid-Term Review consisted of various stages, in which existing documentation was reviewed, briefing and de-briefing meetings conducted and data gathered from various stakeholders concerned, data analysed and draft and final reports prepared. The data gathering process included semi-structured interviews and group discussions with staff of MRCS, including both OSV and OSP, MRC programmes, NMCs, prioritized national agencies and selected service providers. The evaluation team consisted of an independent team leader and a team member from AusAID in Canberra. The team member participated during the first two weeks of the country visits as well as in reviewing of the draft report. The itinerary of the MTR is presented in annex 2, while further details on methodology are presented in annex 3.
- 1.5 The mid-term review of ICBP takes place in a period of considerable change within MRC, including its Secretariat and the NMCs. The adoption of the IWRM-based Lower Mekong Basin Development Strategy means a change from cooperation primarily on knowledge acquisition towards cooperation on water development and management as well as a move beyond national, sectoral planning towards comprehensive basin planning.³ The strategy identifies a number of LMB water development opportunities and associated risks and a process for implementation and defines strategic priorities for basin management, regarded as an essential companion to basin development in order to ensure sustainability.

¹ MRC: *Integrated Capacity Building Programme, Programme Document*. May 2009.

² NZ Aid and Finland support is earmarked for specific parts of ICBP, the gender programme and the Junior Riparian Professional Programme respectively. The support of Finland follows a different time schedule from 2008-2011. Recently continuation of support to the JRP programme was agreed, for a four year period from 2011. The overall budget for ICBP amounts to about 7.8 m USD (Ibid.)

³ The Basin Development Strategy was approved by the MRC Council in 2011. *Integrated Water Resources Management-based Basin Development Strategy for the Lower Mekong Basin*. 2011.

- 1.6 The Basin Development Strategy is an important component of the wider MRC Strategic Plan 2011-2015⁴. The strategy aims at heightening MRC's relevance through more sustainable operations, greater stakeholder ownership and more effective integration with national systems. The strategy is a step in a longer term process of decentralization of MRC core functions, in which gradually over the next 20 years the MRC Member Countries will directly implement and finance selected core functions.
- 1.7 Important part of the process of enhancing ownership of the organization and ensure its self-sustainability is the process of riparianization, which has been on-going since 2001. This process concerns increasing the technical and management responsibilities of riparian staff, with international staff of the MRCS being replaced where relevant by qualified staff from MRC member countries.⁵In addition to enhanced commitments and ownership by member countries, this is meant to reduce operation costs and to contribute to the vision of MRC as a world class, financially secure International River Basin Organization.
- 1.8 Underlying the process of riparianization are the perceived changing needs for expertise over time, from developing and introducing systems and processes for river basin management to maintaining systems and management of the concerned processes.⁶ This is reflected in the new MRC Strategic Plan which sees the present planning cycle as *"...the start of the transition for the MRC to move from a study-oriented tool development focus to a more responsive management focus based on monitoring, analysis and facilitation as well as development support"*.⁷
- 1.9 The processes for implementation of the Basin Development strategy, the process of decentralization and the riparianization of the MRCS are at different stages of development and implementation⁸. At present implementation plans for the Basin Development Strategy and the decentralization process are being developed. All of these processes have substantial capacity development implications on various levels of the MRC and its Member Countries.

⁴ MRC Strategic Plan 2011-2015.

⁵ MRC: *Draft Strategy and Action Plan for Riparianisation of the Mekong River Commission Secretariat*. April 2007.

⁶ Ibid.

⁷ MRC Strategic Plan 2011-2015.

⁸ While ICBP is playing a considerable role in the process of riparianization and has identified issues to support, the role of ICBP in the process of decentralization is much less clear so far.

2 FINDINGS

Relevance⁹

- 2.1 **Finding:** ICBP's objectives of supporting the development of capacities on individual as well as organizational level are highly relevant to key stakeholders concerned. Needs for capacity development in MRCS, NMCs and related Line Agencies are substantial. Given the present processes of riparianization and decentralization of core functions and the related organizational transition process, together with the continuing need for the MRC to respond to the rapidly changing socio-economic context in the region, capacity development will remain a requirement in the longer term.
- 2.2 Across the various MRC stakeholders, including MRCS, MRC Programmes, NMCSs and prioritized National Agencies there is a substantial need for developing capacities to enhance performance. This need for capacity building has been identified early on in the organizational, financial and institutional assessment carried out in 2007¹⁰ as well as in the Riparianization Strategy¹¹ and has been reconfirmed through a variety of means as part of the capacity analysis applied by ICBP to inform its programming in its four components. The high levels of needs were confirmed in the present mid-term review, in which there appeared ample opportunities for ICBP to add value in terms of supporting individual staff capacity development in particular on cross-cutting and integrative competencies, enhancing capacity development initiatives of MRC Programmes and Sections, and providing support to organizational level capacity issues.
- 2.3 **Finding:** The inclusion of capacity development on organizational level is highly relevant and responding to an identified need for attention to organizational issues on the level of MRCS and NMCSs.
- 2.4 Organizational aspects of MRC and NMCs were assessed in two studies. The first concerns the Organizational review of 2007¹². This study on the one hand recognizes that capacities were built in the period before 2007 and on the other hand identifies further capacity development needs concerning staff training to address competency shortfalls in staff across MRCS and NMCSs, as well as addressing various organizational issues, including roles of MRCS and NMCSs, MRC's organizational structure, funding modality, programme coordination, NMC's human resource management functions and issues, MRCS contracting system for NMCS staff, staff recruitment and the process of riparianization of MRCS.
- 2.5 The second study concerns the HR review conducted as part of the outcome area 2 of ICBP,¹³ which focuses on the composition of the MRCS workforce, recruitment and selection of staff, human resources policies and procedures, staff compensation management and staff appraisal. Recommendations focus on workforce structure and composition, staff selection and recruitment, HR policies and procedures, and staff compensation. Some of the issues concerned overlap with those recommended in the 2007 review.

⁹The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. OECD DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, 2002.

¹⁰ MRC: *Independent Organisational, Financial and Institutional Review of the Mekong River Commission Secretariat and the National Mekong Committees*, Final Report. January 2007.

¹¹ MRC: *Draft Strategy and Action Plan for Riparianisation of the Mekong River Commission Secretariat*. April 2007.

¹² MRC: *Independent Organizational, Financial and Institutional Review of the Mekong River Commission secretariat and the National Mekong Committees*. Final Report. January 2007.

¹³ MRC: *Human Resources Consultancy*. 2010.

- 2.6 Both reviews clearly show the need to address organizational aspects as part of a capacity development process within the organization and as such underscore the relevance of ICBP's inclusion of organizational development support.
- 2.7 **Finding:** *The ICBP objectives are in line with the MRC previous as well as new strategic plan 2011-2015.*
- 2.8 The ICBP objectives are well in line with the previous as well as the new MRC strategy. In the previous MRC strategy the ICBP objectives linked in particular with Goal 4 on strengthening of the IWRM capacity and knowledge base of the MRC bodies, NMCs, Line Agencies, and other stakeholders.¹⁴ In the new MRC Strategic Plan 2011-2015, ICBP relates in particular to goal 4: Capacity development for IWRM policy adoption and implementation within the framework of the MRC mandate, and goal 5: Efficient organizational transition of the MRC for implementation of its core functions and full riparianization of its Secretariat. Thus the ICBP mandate and objectives are well in line with strategic objectives of MRC over time.
- 2.9 **Finding:** *The ICBP objectives are in line with development partners' strategies.*
- 2.10 The ICBP objectives relate positively to the various development partner strategies. This includes AusAID, whose strategy focuses on enabling integration through promoting and facilitating sub-regional cooperation, including improved water resource management in the Mekong Basin¹⁵. NZ Aid in Asia has a focus on regional cooperation, with attention to both economic and human development.¹⁶ Finland's development cooperation includes a focus on sustainable development with a special priority for education,¹⁷ which links well with their support to the Junior Riparian Professionals Project.
- 2.11 **Finding:** *The ICBP focus on gender mainstreaming as a cross-cutting issue is in line with the MRC strategy on gender and with the MRC Strategic Plan as well as with the key value of gender in the four member countries and the explicit focus on gender as a cross-cutting issue for sustainable development in development partners' strategies.*
- 2.12 The ICBP includes a separate outcome area on gender mainstreaming in MRCS as well as in NMCs and relevant Line Agencies. This focus on gender is in line with the MRC strategic plan 2011-2015 which includes gender mainstreaming as an underlying principle for sustainable development and which comprises two gender related indicators as part of the results framework at policy and outcome level.¹⁸ The MRC gender strategy identifies gender as a priority issue to be included as one of the social considerations critical in the achievement of natural resources planning and development.¹⁹ Governments of all four riparian countries have endorsed the MRC commitment on gender mainstreaming of 1998 while gender is considered a key value in the four member countries. Strategies of all three development partners include an explicit focus on gender as a cross-cutting issue for sustainable development.

¹⁴ During the first part of the strategy period 2006-2010 capacity strengthening was carried out under the MRC Integrated Training Strategy and Programme, the forerunner of ICBP. MRC: *Strategic Plan 2006-2010, Meeting the needs, keeping the balance*. December 2006.

¹⁵ Indicators concerned include institutional capacity in targeted institutions and effectiveness of management structures. AusAID: *The Greater Mekong Sub-region, Australia's Strategy to promote Integration and Cooperation 2001-2011*. September 2007.

¹⁶ New Zealand Ministry of Foreign Affairs and Trade Aid Programme: *International Development Policy Statement, Supporting sustainable development*. March 2011.

¹⁷ Ministry for Foreign Affairs of Finland: *Finland's Development Cooperation 2010*.

¹⁸ GIZ: *Gender Analysis of the GIZ Support Program to the Mekong River Commission*. August 2011.

¹⁹ MRC: *Commitment on Gender Mainstreaming in Water Resources Development in the Lower Mekong Basin*. 1998.

Effectiveness²⁰

- 2.13 **Finding:** *The programme results framework is highly ambitious, in particular on the level of the outcomes to be achieved, which are unlikely to be realized within the four year time frame of the programme. The outputs formulated under each of the outcomes may prove to be insufficient to reach the outcome level changes aspired to.*
- 2.14 The outcome level changes of the ICBP as presented in table 1 below are highly aspirational. Outcomes 2 and 4 concern enhanced functioning of organizational aspects. These aspects are meant to be realized on the level of the whole of MRC, NMCs and national level agencies. Outcome area 1 focuses on individual staff competencies, in particular technical competencies on IWRM principles. Focus here is also on MRC, NMCs and prioritized national agencies and coverage is meant to be organization wide. Outcome 3 concerns gender mainstreaming on all levels, in programmatic terms as well as in terms of organizational policies and practices.

Table 1: The Four Outcomes of the ICBP

Level Results Framework	Description	% of activities implemented ²¹
Outcome 1	MRC, NMCs and prioritised national agency staff have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation	43%
Outcome 2	MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives	37%
Outcome 3	Gender is mainstreamed within the MRCS and national agencies integrate gender aspects more effectively into their IWRM work	27%
Outcome 4	An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of the MRC	36%

- 2.15 The present level of the outcomes is such that it cannot be expected to be attainable within a four year period and under the 'control' of a single programme. Moreover, the achievement of the outputs under each of the outcomes cannot necessarily be expected to ensure their realization. To reach each of the outcomes inputs from other stakeholders including MRC programmes, NMCs and Line Agencies will be required. Though a substantial number of underlying assumptions and risks have been identified, these are usually not assessed to inform programme implementation. Assumptions concern aspects beyond the remit of ICBP including commitment to change at various levels, coordination across MRC programmes in particular on aspects of IWRM, policy decisions on organizational aspects including HR policy and structure of the organization.
- 2.16 There is a need to enhance the programme results framework in this respect and the mid-term stage of the programme would provide a useful opportunity. Rather than going through the time consuming process of changing the outcome level statements themselves, it will be more efficient to further specify and detail ICBP's contribution to the outcome level changes

²⁰The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. OECD DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, 2002.

²¹ MRC: *Integrated Capacity building Programme Implementation Plan 2011-2013*. June 2011.

concerned by identifying realistic indicators on outcome level and to further adapt the indicators on the output levels. Moreover, it will be useful to specify as much as possible yearly and end of programme targets and to arrange for the gathering of baseline information, which is needed for use in comparison with future data gathered. This can enhance results based management of the programme and will enhance the evaluability of the programme.

2.17 Finding: *The project has implemented activities in each of the four outcome areas and has started to produce results, though to varying degrees across the four outcome areas. It is necessary to take output level results for what they are rather than merely reviewing them in terms of their contribution to the aspirational outcome level changes.*

2.18 The results achieved so far by the program will be discussed below, making use of the four outcome areas of the program and the various outputs under each of these. An overview of ratings of the progress to date on the various outputs and outcomes will be included in the discussion. Results achieved by the program vary both across as well as within the four outcome areas. Overall results achieved lack behind expectations. This can also be observed from the level of realization of activities and reaching milestones in the period 2009-2010 as presented as part of table 1 above, with an average achievement of 36 %. Limitations in reaching results are due in particular to the constraints faced in the process of implementation, as will be discussed under the evaluation criterion of efficiency below. Annex 9 presents the reported activities for each of the outcome areas of the programme.

Outcome Area 1: Technical Competencies to integrate IWRM principles into policy making, planning and implementation

2.19 A successful aspect of outcome area 1 in the period under review is the JRP programme (output 1.3), which was existent before ICBP started and which was brought under the management of ICBP. The team managed to improve quality aspects of various parts of the training. Moreover, participants from China and Myanmar were successfully included in batch 6 of the JRP programme, which will be continued in the future. At present a system of Riparian Professionals development is in place with batches of 10 professionals being trained at a time.

Table 2: Rating of Outcome and Outputs of Outcome Area 1

Level Results Framework	Description	Rating ²²
Outcome 1	MRC, NMCs and prioritised national agency staff have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation	o
Output 1.1	General IWRM Competencies of all MRCS, NMCS and selected staff of prioritised national agencies are strengthened	o
Output 1.2	Specialised IWRM competencies for MRCS programmes are strengthened for selected staff of MRCS, NMCSs and prioritised national agencies	o
Output 1.3	IWRM competencies of young professionals are developed through the delivery of the JRP Development Training Programme	dg
Output 1.4	Sharing of expertise and experience between MDBA and MRC contributes to improved understanding of IWRM	g

²² For progress rating an indicative scale is used in terms of effectiveness to reach the stated output and outcome. The rating provides an assessment on whether outputs and outcomes are on track towards their realisation at the end of the ICBP period, with four levels of rating including red: off track; orange: slightly off-track; green: on track and dark green: ahead of expectation.

Output 1.5	IWRM-related learning facilitated through MRC Internships, professional work exchange opportunities & by provision of scholarship -related information	r
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- 2.20 An evaluation of the programme²³ was conducted in early 2011 which provided useful recommendations in particular concerning a more systematized and open recruitment process, adapting planning for on the job training and introduction of a 'home organization assignment'²⁴. In the discussions with the various programmes, it was found that the usefulness of the *on the job training* part of the programme, in which JRPs participate for 4 months in one of the MRC programmes is of varying use to the programmes concerned. There appears opportunity to improve in particular the relationship of JRPs with MRC programmes, which could be done as early as the recruitment process (see further details in Annex 4).
- 2.21 To enable sharing of expertise and experiences with MDBA (output 1.4) an MoU was developed and signed in May 2011 between MRC and MDBA and a workplan developed for 2012, focusing on the themes of drought and salinity management and basin wide planning and assessment. This provides good opportunities for mutual sharing of expertise and experience between MRC and MDBA in the coming year.
- 2.22 To stimulate learning within MRC and enable transfer of knowledge and skills within MRC programmes as part of the riparianization process, draft coaching guidelines were developed in cooperation with the Environmental Programme²⁵. Further follow up for implementation of these guidelines is planned for the second part of the programme period.
- 2.23 Results in terms of strengthening general and specialized IWRM competencies across MRC programmes and NMCs as well as relevant national agencies (output 1.1) have been more limited. Though a competency framework has been developed, this has yet to be enhanced with the specific requirements of each of the identified competencies for specific functions in order for the tool to be applied in staff assessments. The relationships established with programmes, including M-IWRM-P, BDP and CCIA, provide ample opportunities to further enhance results in this outcome area as does the development of the CDAP together with M-IWRM-P which is focused on building capacities in IWRM.
- 2.24 The least performing part of outcome 1 is the Internship Programme, where there appeared to be a large number of about 50 applications, but only one opportunity realized in practice. It will be important for the programme to see whether it has the capacity to manage this part of the programme or whether it would be more efficient to use funds concerned for the expansion of the JRP project.
- 2.25 With the level of achievement of the various outputs concerned the realisation of the outcome can be considered slightly off track, realizing though that the outcome is pitched relatively high. As indicated above the programme has made considerable contributions so far and with the tools put into place, the relationships built and staff in place it can be expected that substantial progress can be made in outcome area 1 in the second part of the programme.

Outcome Area 2: Enhancing Organizational Capabilities

- 2.26 Most of the progress in the outcome area of enhancing organizational capabilities concerns strengthening leadership and management competencies in MRCS and NMCs (output 2.2) and strengthening of selected organizational systems in MRC (output 2.3). For the first a

²³ Piechotta, Juergen: *Evaluation Report, Junior Riparian Professional Project, Phase II*. May 2011.

²⁴ A *home organization assignment* refers to the JRP addressing a specific issue or topic in his/her home organization at the end of the JRP training course. It concerns a kind of internal consultancy assignment, making use of the learnings in the JRP and to show to his home organization the possible use of the learnings. Ibid.

²⁵ *MRC Coaching Guidelines* (draft).

training needs assessment²⁶ was conducted and initial training organized. The latter most notably concerns support to procurement and to the performance management system.

- 2.27 Limited progress has been obtained in MRC Human Resource Management policies and procedures to support capacity building (output 2.1). Support was provided to a HR policy review which has provided important recommendations on workforce composition, recruitment and selection, human resource policies and compensation and staff appraisal.²⁷ These add to the recommendations of the organizational review of 2007 of which some issues identified remain unaddressed. The HR Review and the previous Organizational review can inform this part of the program. What is needed is a clear response to the last HR review and to remaining constraints identified in the earlier organizational review of 2007, and the development of a prioritized action plan for addressing organizational issues. As part of such a plan the roles of ICBP as well as other parts of the MRC need to be specified. This would provide strategic direction to ICBP support to organizational change in the second part of the programme.

Table 3: Rating of Outcome and Outputs of Outcome Area 2

Level Results Framework	Description	Rating ²⁸
Outcome 2	MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives	o
Output 2.1	MRC Human Resource Management policies and procedures to support capacity building revised and applied	o
Output 2.2	Leadership and Management competencies strengthened within MRC (Secretariat & Governance bodies) and NMCs	g
Output 2.3	Selected MRC organisational systems strengthened	g
Output 2.4	General organisational development competencies of staff of MRC (Secretariat and Governance bodies and NMCs) strengthened	o
Output 2.5	Core training programme for new staff is established and implementation coordinated	o

- 2.28 Results on organisational development competencies of staff of MRC (output 2.4) and establishment of a core training programme for new staff (output 2.5) have so far been limited. For the latter a concept note has been prepared, informed by the consultancy conducted on HR issues mentioned above. ICBP staff is opting for a multi-media orientation package and have expanded the kind of materials to be included. Though this means a more comprehensive approach, it has meant that the realisation of the information package takes considerably more time. It will be useful for ICBP to adopt a phased approach, making available parts of the materials that can stand alone as soon as possible so that staff can get access to these.²⁹

²⁶ Consultancy Process to Support the Strengthening of Leadership and Management Competencies in the MRC Secretariat. Leadership and Management Training Needs Assessment Report. October 2011.

²⁷ MRC: Human Resources Consultancy. 2010.

²⁸ Four levels of rating include red: off track; orange: slightly off-track; green: on track and dark green: ahead of expectation (see footnote 21).

²⁹ In addition to key aspects identified by the HR consultant, including: (1) general information about MRC, (2) overview of the MRC Programmes, and (3) MRC employment policies, the ICBP team plans to include (4) Programme Management and Coordination, (5) Communication and (6) Financial and administrative issues. MRC: *Concept Note Development of Multimedia Orientation Package for New Staff of the Mekong River Commission Secretariat (OSP & OSV) Integrated Capacity Building Programme – ICBP*.

Outcome Area 3: Gender Mainstreaming

- 2.29 The outcome area on gender mainstreaming is different from the other programme outcome areas in that it builds on a longer term gender mainstreaming project, which was incorporated as part of ICBP once the programme had been established. The gender mainstreaming component benefits from a system of gender focal persons which has been established in the various Line Agencies in the four countries as part of the earlier efforts of the gender project. Gender has been a priority issue in MRC and a gender strategy as well as a gender policy were developed and endorsed by the governments of the riparian countries through the MRC council in 1998 and 2000 respectively.³⁰
- 2.30 There has been substantial progress in the mainstreaming of gender into the MRCS system (output 3.1) with two gender indicators included in MRC Strategic Plan 2011-2015 with one on the policy level and one on the programme level. Moreover, ICBP has supported the establishment of a gender task force within the organization, with a kick-off meeting planned for early 2012.³¹ The gender action plan is about to be finalized. Focus in the first part of the programme has understandably been much on programmatic aspects and administrative systems, with work on the more contentious issue of sexual and cultural harassment guidelines postponed. This issue will need to be addressed in the second part of the programme, in close cooperation with Outcome Area 2.

Table 4: Rating of Outcome and Outputs of Outcome Area 3

Level Results Framework	Description	Rating ³²
Outcome 3	Gender is mainstreamed within the MRCS and national agencies integrate gender aspects more effectively into their IWRM work	o
Output 3.1	MRC gender strategy and policy mainstreamed into MRCS systems, procedures and guidelines	g
Output 3.2	Gender responsive approaches are mainstreamed into the MRC sectoral programmes	g
Output 3.3	Gender responsive capacity of the NMCSs and the prioritised national line agencies is developed through gender awareness raising, training and pilot project implementation	o

- 2.31 The incorporation of gender indicators within the strategic plan means that programs now are seeking support on gender mainstreaming in order to be able to respond to this requirement. Together with ICBPs relationships formed with MRC programs, this provides useful conditions to further support gender responsive approaches in MRC programmes (output 3.2). Progress has been achieved in particular in selected programmes including FP, EP, CCAI, IWRM, ISH, and FMMP. The approach taken can be enhanced by ensuring the inclusion of gender in the design phase of programmes, which appears a good entry point in order to ensure sufficient attention to gender concerns in programme implementation.
- 2.32 Several pilot projects have been started in order to support gender responsive capacity building in NMCSs and relevant national line agencies and gender trainings have been conducted (output 3.3). Use is being made of gender focal points and staff trained in order to support pilot projects and activities in this respect. Nonetheless, this part of the programme does not yet appear to have the needed coverage and spread and could be enhanced with

³⁰ MRC: *Commitment on Gender Mainstreaming in Water Resources Development in the Lower Mekong Basin*.

³¹ GIZ: *Gender Analysis of the GIZ Support Program to the Mekong River Commission*. August 2011.

³² Four levels of rating include red: off track; orange: slightly off-track; green: on track and dark green: ahead of expectation (see footnote 21).

ICBP taking a more facilitative approach, coordinating and guiding support of multiple gender consultants to pilot projects and trainings on country level, so that the coverage of support provided can be increased substantially and results can be expected to be enhanced.

Outcome Area 4: Capacity Building Mechanism established

- 2.33 The outcome area on establishment of a Capacity Building Mechanism has obtained so far varying results. Results have been obtained in particular regarding annual planning of capacity building on national level, which includes NMCSs and relevant Line Agencies (output 4.2). Planning is informed by an assessment of training needs. The latter can be further improved by the application of more rigorous capacity assessments in key organizations. When done in a participatory way such capacity assessments can themselves be an important part of a capacity development process. Moreover, when conducted repeatedly, like on a yearly or two-yearly basis, they can provide relevant performance data.
- 2.34 As part of Output 4.3 a format for a lessons learned note was developed and various lessons on capacity building have been documented and disseminated. The next step will be to institutionalize the use of the format, which could be included as a requirement in the TORs of programme reviews and evaluations and as a topic for discussion in programme meetings.
- 2.35 A physical as well as a web-based repository for capacity building materials has been established (output 4.5) with the latter upgraded from one based on the use of a shared drive. The web-based repository enables access of programmes as well as member countries. Focus in the second part of the programme will need to be more on dissemination of the resources available, and promotion as well as on monitoring of their use.

Table 5: Rating of Outcome and Outputs of Outcome Area 4

Level Results Framework	Description	Rating ³³
Outcome 4	An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of the MRC	o
Output 4.1	MRC (Secretariat and NMCS) capacity building planning, information management, coordination and monitoring and evaluation system is established	o
Output 4.2	National capacity building plans (covering NMCSs and prioritised national agencies) prepared and implementation monitored by NMCSs	g
Output 4.3	Lessons learned on capacity building processes documented and disseminated.	g
Output 4.4	MRC programmes supported with capacity building methodological advice	o
Output 4.5	Capacity building materials repository (open access) established	g
Output 4.6	A regional network of training and education institutions is established to support long term sustainable capacity building in IWRM	o

- 2.36 The support to an M&E system (output 4.1) has focused primarily on development of a system for assessment of progress on activities and output levels. Several functionalities have been added to the monitoring aspects that form the basis of the system, which has

³³ Four levels of rating include red: off track; orange: slightly off-track; green: on track and dark green: ahead of expectation (see footnote 21).

resulted in a fairly complex whole. In order to facilitate introduction of the system it would be useful to start with the basic parts of the system and gradually building in additional components which could enhance the chances of the system being adopted in practice. Less attention has been paid so far to monitoring of outcome level changes and the studies and assessments included as means of verification in the programme results framework. Increased attention is needed to this level of change to enhance results based management of the programme.

- 2.37 More limited progress has been achieved with support provided to programmes on capacity building methodologies (output 4.4). This has much depended on requests of a limited number of programmes and though this has provided the opportunity for ICBP to show the value that it can add in this respect, such support will need to be more systematic in nature and more broadly focused across programmes to really have the effect that is required.
- 2.38 Limited progress has been reached with the establishment of a regional network of training and education institutions. A concept note has been developed and follow-up is planned for 2012. A regional network could be used for sharing of MRC resource materials, tools and guidelines and in this way promote MRC's approach to integrated water resource management. When such an integrated approach would become used more widely by training and education institutes, this could be expected to substantially inform the quality of IWRM training in the region. Such a combination of networking and pro-active promotion of MRC materials could prove an additional and more systemic approach to training.

Findings across ICBP outcome areas

- 2.39 **Finding:** *There is a lack of monitoring of results achieved in the four outcome areas of the programme with many of the means of verification of outcomes as well as outputs in the results framework concerning studies, surveys and focus group discussion, which are mostly not implemented in practice. This lack of data on achievement of results limits the extent to which the programme can make use of results-based management. Ability of the programme to manage for results will be critical in the second part of the programme in order to provide the necessary guidance to the programme towards achievements of outcome level changes.*
- 2.40 About two thirds of the means of verification of all indicators in the programme results framework consist of studies, reviews, surveys and focus group discussions, most of which had not taken place at the time of the present review. This means that there is relatively few information available within the programme on the extent to which results are being achieved, both on the level of most of the outputs concerned, as well as on the outcome and goal level indicators of the programme. For some of the indicators reference is made to a periodic independent organisational assessment of MRCS. The last of such an assessment was conducted in 2007³⁴. Though a follow-up to this assessment would certainly be useful, it would not address the lack of more regular data for monitoring purposes.
- 2.41 There is a need to more systematically gather data on performance aspects both of ICBP initiatives on individual staff training as well as on the initiatives implemented on organizational aspects. The identification of selected monitoring and evaluation studies at the start of each programme implementation year could provide a strategic perspective and provide the relevant information to enhance results based management of the capacity building process. A variety of methodologies could be used including tracer studies of selected training courses, focused participatory capacity assessments of selected stakeholders and client satisfaction surveys. Moreover, application of the use of Outcome Mapping and the Most Significant Change Technique, relevant to capacity assessment and inclusion of unintended change respectively, could be explored.

³⁴ MRC: *Independent Organisational, Financial and Institutional Review of the Mekong River Commission Secretariat and the National Mekong Committees, Final Report.* January 2007.

- 2.42 **Finding:** ICBP's planning process for the PIP is informed by an extensive Consultation process in order to identify priorities for capacity building. The focus on the planning process though, is very much on activities for the remainder of the programme period, informed by the activities conducted so far as part of the ICBP. There is much less attention to results in terms of changes that need to occur for the Programme outcomes to be realized. The availability of information on results on outcome as well as output levels could enhance the planning process.
- 2.43 The PIP for the coming years (2011-2013) has been developed making use of an extensive consultation process, both within MRCS as well as on the level of NMCSs and related Line Agencies. The high level of consultation and continuous improvement throughout the process of development was recognized by the Programme Steering Committee.³⁵
- 2.44 The focus of the PIP is overly on activities to be conducted in 2011-2013, informed by activities conducted during 2009-2010, the first period of programme implementation. What is missing is sufficient attention to results, i.e. to what extent output and outcome level changes have been reached, identification of enabling and constraining factors that affect the realization of such changes in the context of MRC and NMCs and an analysis of the level of output and outcome level changes than can reasonably be expected to be realized at the end of the PIP-period. Such an understanding of results could inform identification of activities that need to be prioritized, constraints that need to be addressed and conducive factors and their possible usage in further programme implementation. Once more data on results would become available (as suggested above) there would be a need to further fine-tune the PIP making use of these data, in this way enhancing results-based management, in order to ensure that the programme contributes substantially to the outcome level changes of the results framework.
- 2.45 **Finding:** Combining building of capacities on individual and organizational levels is a useful approach which can be enhanced by making this relationship more explicit in the work of ICBP as well as in the assessment and analysis of results as part of the monitoring and evaluation system.
- 2.46 Specific characteristic of ICBP is that it combines building capacities on individual as well as organizational level, which has the advantage of being able to link work done on both levels. Staff that is being trained needs to be able to implement their learning once they return to their workplace and the organizational systems in place need at least to allow them to do this while at best supporting and promoting them to apply their learning. If this would not be the case and systems would constrain application of learning, some of these systemic issues would need to be identified and addressed. On the other hand, changes made on organizational level often require for staff to be trained in dealing with new procedures and mechanisms in order for these to be applied appropriately. Thus combining these aspects can greatly enhance change processes within the organization.
- 2.47 Within ICBP the work on individual staff level and organizational systems level is not yet sufficiently related. While there are aspects of combining these capacity levels in the work on gender mainstreaming, in other parts of the ICBP linkages are often less explicit. For ICBP to fully benefit from working on both levels it needs to more explicitly create linkages. This needs to be informed by results information concerning individual staff level initiatives and activities focused on organizational level, identifying constraints faced across levels and addressing these.
- 2.48 **Finding:** The expectations that the various MRC programmes have of the role of ICBP and the kind of value that it can add varies considerably. ICBP can further build on relationships built so far, and should over time limit responses to immediate demands and move towards a more systemic approach based on priorities identified, in line with the MRC Strategic Plan.

³⁵ Minutes of the 4th ICBP Steering Committee Meeting February 2011.

2.49 ICBP has started to play a role in building staff and organizational capacities both within MRCS, MRC programmes and in NMCs and related Line Agencies. The expectations of the added value of ICBP varies, in particular across the various MRC Programmes and ranges from ICBP being expected to implement a whole IWRM capacity building programme, ICBP enhancing methodology of capacity development, to ICBP managing and administering training of some of the other programmes. Overall the added value of ICBP as a programme is increasingly realized, in particular in a number of selected programmes, which provides a good starting point for ICBP to further enhance capacity building in MRC programmes in the remainder of the programme period. The risk of such diverse expectations is that ICBP would become driven by short term demands. This needs to be counteracted by a clear strategic approach, addressing needs identified in a systemic rather than an ad hoc way.

Efficiency³⁶

- 2.50 **Finding:** *The programme has had a difficult start-up and has struggled in finding its role in capacity building within the organization in particular vis-à-vis the other MRC programmes. With capacity building being an approach applied in most of the MRC programmes, it has been a challenge for ICBP to show what added value it brings. It is increasingly realised that the capacity building expertise of ICBP staff can address some of the difficulties experienced across other MRC programmes in building capacities on programme technical issues.*
- 2.51 The implementation of the programme has had a difficult start and it has been a challenge for the programme to find its niche in the wide array of capacity building aspects within MRC. An over-ambitious agenda as pronounced in the first PIP of the programme, with most of the capacity building in MRC to be done through ICBP, has had an initial counter-productive effect.³⁷ A more realistic approach to the role of the ICBP and its function as a service delivery unit within the organization has resulted in a more useful working relationship with the various programmes. It is recognized that the ICBP team can provide support on methodological aspects of capacity building, while technical aspects concerned remain the responsibility of the individual MRC programs. The JRP project has helped to show the value that ICBP can add and has contributed to improving the working relationships of ICBP with various MRC programmes.
- 2.52 At present the ICBP team is overall well respected and in most of the MRC programmes ICBP and programme staff have identified ways in which ICBP can make a contribution to the realisation of the programme objectives. These issues include supporting capacity assessments and training needs assessments, supporting programmes on methodological aspects of capacity building and monitoring and evaluation of capacity building initiatives. This type of support highlights ICBP's role in enhancing the quality of capacity development across the organization. A number of other opportunities for ICBP to add value became apparent during the review and are presented in Annex 5.
- 2.53 With the high level of staff turn-over in MRC there remains a risk in terms of relationships between ICBP and other MRC programmes and ICBP will need to pay sufficient attention to such staff changes, making sure that new staff in MRC programmes are made sufficiently aware of the role of ICBP within the organization.
- 2.54 **Finding:** *Part of the delays in implementation can be explained by significant staffing gaps for the various technical positions within the ICBP team, several of which have been vacant for substantial periods. This lack of staff has made it more difficult for ICBP to find its niche within the organization, has affected timeliness of programme implementation and limited results achieved. This has been reinforced by insufficient policy support from senior management within the organization to enable ICBP to work across the organization and to address organizational development issues.*
- 2.55 Recruitment of qualified staffing of ICBP has been a challenge while staff turn-over has been substantial. Technical support has been limited with the CTA position vacant for more than a year. The newly recruited CTA arrived at the end of December 2011. Various other technical positions in the programme have been vacant for substantial periods, including the position of IWRM and PMC Programme Officers. More recently the position of Organizational Development Programme Officer has become vacant. Gaps in staffing have influenced

³⁶ A measure of how economically resources / inputs (funds, expertise, time, etc.) are converted to results. OECD DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, 2002.

³⁷ *Integrated Capacity Building Programme Implementation Plan 2009-2010*. September 2009.

programme implementation and has limited the results achieved so far, in particular in outcome areas 1 (IWRM) and 4 (Capacity Development Mechanism) of the programme. At present recruitment of the Programme Officer for Organizational Development is an important priority. (For details on the ICBP staffing and staffing situation from June 2009 till November 2011 see Annex 6).

- 2.56 The implementation of the ICBP has moreover at times been affected by insufficient policy support from senior management within the organization, to enable ICBP to support capacity building across the organization and address and support organizational development issues. Vacancies in MRC leadership positions have played a role in this respect with the position of CEO vacant for over half a year and the position of Head of HRS vacant since October 2011.
- 2.57 The staffing situation of ICBP at the national level over the past 2.5 years shows less gaps with in particular National ICBP Programme Coordinators in place in most of the NMCs for most of the time. On the other hand, continuation in positions varies across the various member countries, with the PO in Vietnam being in position from the start of ICBP, while in Lao PDR the PO has changed four times due to short tenure periods of Government staff in Lao PDR and internal change processes in the Department of Water Resources.
- 2.58 Contracts of ICBP staff members are at present not aligned to the life time of the programme which means that several staff contracts will run out before the end of the present programme period in 2013. This could have detrimental effects, in particular towards the end of the present programme period.
- 2.59 The competencies of the various ICBP staff members were assessed though this was not followed up with a staff capacity development plan. It would be useful for ICBP to plan its own staff capacity development process based on this assessment.³⁸
- 2.60 **Finding:** *The quality of the support provided by ICBP is generally highly rated by other programmes and by NMCs as are the inputs and commitment of ICBP staff. Nonetheless there are opportunities to further enhance the quality of deliverables.*
- 2.61 The ICBP team has become well respected within the organization and appreciated for its commitment and level of professionalism and the support provided to a variety of MRC programmes and NMCs is overall well appreciated.
- 2.62 Notwithstanding the overall quality of support provided, there appear to be ways in which various of the outputs delivered could be further improved including:
 - Training needs assessments remain usually on the level of (parts of) organizations rather than on individual level. Once more generic capacities have been developed there will be a need to assess specific capacity needs on individual levels. The exception is for MRC staff, where capacities are already assessed on individual level. This is done through the annual staff performance appraisal, when staff indicates their training needs. This is based though on individual preference and not necessarily systematically compared to organizational needs.
 - Capacity needs assessments make use of generic tools rather than of sector and programme specific tools. An example is the assessment tool used to support the CCIA Programme. Though such a generic tool can be useful at the start of the programme, over time the ICBP team will need to make use of more specific tools for selected parts of the organization.
 - Several of the conceptual frameworks that have been developed by ICBP (such as the Capacity Development Framework and the ICBP 3D Strategic Direction for 2011-2013) are presented as such with no or insufficient explanatory text to make the framework understandable and useful. In order to enhance the possible use of such

³⁸ The presentation of results of this assessment does unfortunately not include any details on the methodology used. MRC: *Riparianization Progress, Integrated Capacity Building Programme*. February 2011.

frameworks there is a need to further enhance them with additional text, explaining aspects of rationale, detailing of logical relationships between the various parts of the frameworks, possible uses and references to sources concerned. While conceptual frameworks developed for MRC can be expected to be specific based on MRC's focus on IWRM as well as the trans-boundary nature of the organization, such differences with similar conceptual frameworks of other organizations need to be made explicit, showing similarities as well as differences and providing a rationale for these.

- Evaluation of training programmes remains mostly on the level of opinions of trainees at the end of the training with lack of attention to tracer studies (exceptions include the recent JRP Programme evaluation in which a tracer study was included and pre and post knowledge testing in ICBP gender trainings). Though ICBP recognizes different levels of evaluation of training,³⁹ in practice not enough use is made of those that go beyond participants' observations just after the training event. With training being a substantial component of the ICBP programme there is an opportunity for ICBP to more systematically evaluate ICBP supported training as well as to support evaluation on other capacity building related training in MRC. This could be taken even one step further through a meta-analysis on evaluations conducted within a one year period in order to analyse trends, identify lessons learned and to inform programme management and planning for the next year cycle.
- The ICBP team has shown a tendency towards application of an ideal and comprehensive approach rather than a phased pragmatic approach, with often counter-productive effects. The ICBP support to the development of a web-based Performance Management System (mentioned earlier) is an example of this, with the development of an application that combines planning, monitoring and evaluation with a shared agenda, communication aspects and other functionalities. The complexity of the system had implications for the time needed to develop it. The ICBP team needs to consider the use of an incremental approach in which one starts with the basics and makes these available to staff in an early stage. Such introduction would prove relatively easy, and once staff is familiar with the basics, the system could be enhanced and further detailed with staff gradually introduced to these enhanced and added functionalities.⁴⁰
- In various instances ICBP Programme Officers have played a direct implementation role in training or supporting organizational capacity building. With the relatively high level of outcomes expected from the programme, there is a need for POs to quite quickly move towards a more systemic approach in which they hire and guide various technical support persons to do the implementation so that the effort can be increased and the contribution to the related outcome enhanced. Thus ICBP staff needs to get more familiar with a guiding and management role, building on their experience in direct implementation.

2.63 Finding: *Governance arrangements of the ICBP vary in the extent to which these enhance programme implementation. On the one hand the steering committee as well as coordination amongst donors in support of the programme has worked well and this has reinforced programme implementation. On the other hand the location of ICBP in the Human Resource Section of MRCS has at times limited the programme's opportunities, in particular for work on organizational development and competencies of senior management staff. With the location of ICBP within the MRCS presently under review and in view of the need for a strong*

³⁹ Kirkpatrick distinguishes four levels: the immediate reaction just after the event, testing the learning of participants, assessing changes in behaviour of participants and assessing results for the organization. Kirkpatrick, Donald L. and James D., *Implementing the Four Levels. A Practical Guide for Effective Evaluation of Training Programs*. 2007.

⁴⁰ The development of a staff introduction package is another example for this tendency towards a comprehensive approach with the team opting for a multi-media orientation package which is taking considerable time. MRC: *Concept Note Development of Multimedia Orientation Package for New Staff of the Mekong River Commission Secretariat (OSP & OSV) Integrated Capacity Building Programme – ICBP*.

capacity building support function within the MRC for the realization of the MRC Strategic Plan 2011-2015, a relocation of the ICBP is proposed. Location as one of the service sections under the CEO will provide MRC with a longer term solution to its capacity building requirements and a locus for support to change management related to the organizational transition process.

- 2.64 The Steering Committee has convened on a regular basis and is addressing some significant issues and systematically following up on recommendations from earlier meetings. The Program is fortunate to have established a committee with a high level representation.
- 2.65 The three donors that support (parts of) ICBP include AusAID as main donor, NZ Aid supporting the gender mainstreaming part of the programme (Outcome area 3) and Government of Finland who supports the JRP Project (part of Outcome area 1). Both NZ Aid and Government of Finland have agreed to be represented by AusAID, the only agency of the three donors with a resident representation in Vientiane, on a day-to-day basis. Reporting is done through a single 6 monthly and yearly report for MRC, member countries and donor parties concerned, which proves an efficient way of dealing with reporting requirements.
- 2.66 Finding the most appropriate location for ICBP within the MRC Secretariat is an important issue and is complicated by the multiple functions that ICBP is meant to fulfill and where these functions would ideally be located in order for ICBP to be able to optimally realize each of them⁴¹.
- 2.67 The present position under the Human Resource Section could work well for the individual staff training that ICBP supports across programs and NMCs as well as for the JRP project. The corporate strengthening responsibilities of ICBP as well as the work on leadership development are by many seen as requiring ICBP to be located more 'independently' and at a higher level in the organization.
- 2.68 Location within the Office of the CEO would be useful for the support to M&E as the development of the organizational M&E system resides with the Technical Cooperation Unit, but would be much less beneficial to the other functions that ICBP is meant to perform.

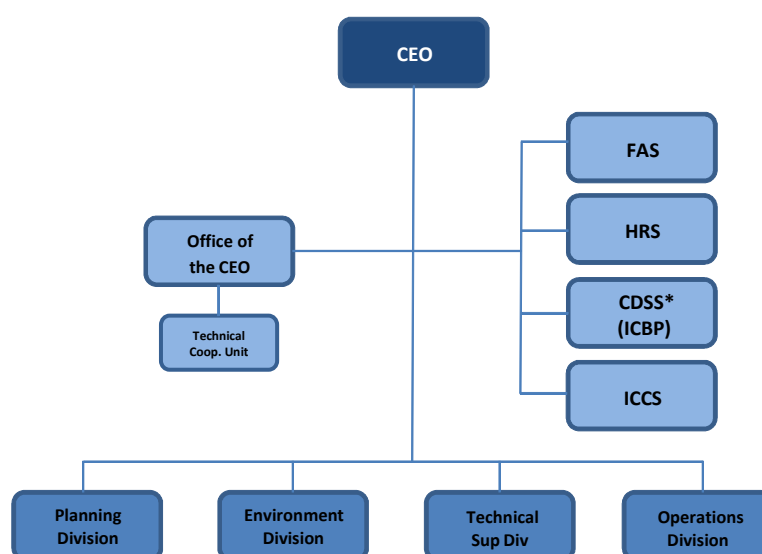
Table 6: Functions of ICBP and their Ideal Locations within MRC

	Functions of ICBP	Ideal location
1	Support the development of staff capacities in MRC and NMCs and prioritized national agencies in particular on IWRM and MRC Procedures	Across programmes
2	Building capacities of Junior Riparian Professionals	HRS
3	Support the development of MRCS systems, HR / Finance / Procurement	Support Section
4	Support to Organizational Transition (goal 5 in MRC Strategy 2011-2015)	Support Section
5	Gender mainstreaming across the MRCS, MRC programmes, NMCs, and prioritized national agencies (programmatically as well as organizationally)	Support Section
6	Support the quality of capacity building initiatives across MRC sections and programmes and within NMCs	Support Section
7	Support the establishment of a Monitoring and Evaluation System	Office of the CEO

⁴¹ An analysis of the different functions of ICBP and their ideal location within MRC could be interpreted as to mean that one might easily locate the different functions in separate parts of the organization. With the struggle of the programme to find its niche in the organization, splitting up the programme at this stage would seem to be the worst option. The strengths of the ICBP design is the combination of working on individual staff and organizational level, something that will be needed in the capacity building processes to support the on-going organizational transition in MRC.

- 2.69 Location of ICBP in one of the programme divisions seems to be the least suitable solution. On the one hand because this would, with the lack of a programmatic superstructure, mean location within one of the four programme divisions, most likely the planning division, which might limit cooperation with other programmes. Even more important though is that this would make it much more difficult, if not virtually impossible for ICBP to address the range of organizational aspects that has been identified as in need of attention.
- 2.70 Most beneficial location for the capacity development support function appears to be that of a Support Section, a service providing part of the organization comparable with the FAS, ICCS and HRS. This would provide MRC with the means to support capacity development and organizational transition in the longer term. This would work for the staff capacity development parts of ICBP as well as for the organizational development issues and for gender mainstreaming, which form the mainstay of the ICBP mandate. Location as one of the service sections would provide MRC with the means to adequately address the challenges that it faces in terms of capacity development for IWRM policy adoption and organizational transition, both goals included in the new Strategic Plan.⁴² With capacity building being one of the four categories of MRC core functions, such a support section would have a clear justification. A detailed comparison of advantages and disadvantages of ICBP's location at different positions in the MRC organizational structure prepared by the programme is presented in annex 7.

Figure 1: Option for Location of ICBP considered most conducive for its performance



* CDSS: Capacity Development Support Section (to be newly created with ICBP as programme within the section)

- 2.71 **Finding:** The disbursement rates of the programme vary across the donor agencies with most of the funds concerned showing a reasonable though slightly underspent burning rate. Introduction of output level codes in ICBP's financial system will enable results based financial management from 2012 onwards.
- 2.72 Expenditures of the JRP project, supported by the Finnish government, are as planned while AusAID funds show a limited under-expenditure. The gender programme disbursement rate is lowest (for details see box 1 below), which appears to link with focus on policy issues in the MRC strategy combined with a yet limited coverage of pilot projects in NMCs and

⁴² MRC: Strategic Plan 2011-2015. For Sustainable Development.

financial management issues. ICBP is working on the implementation of results specific coding for each of the expenses to be made from 2012 onwards, so that expenses can be reported on by outcomes and outputs, which can further enhance results based financial management. With the budget including financing of staff positions of CTA and other ICBP staff, the significant gaps in staffing throughout the last two years has negatively influenced the spending rate.

Box 1: Disbursement Rates per Funding Stream in ICBP

- **AusAID funds** Disbursement rate: 43 %
- **NZ Aid funds** Disbursement rate: 30 %
- **Finland funds** Disbursement rate:
 - Phase ii: 90 %; Phase iii: 10 %
- **Overall Disbursement rate:** 41 %

Source: ICPB Financial Management System

2.73 Finding: *Training providers are often regarded as service providers and ICBP arranges for short term contracts in order to outsource the services required. This limits the sharing of information between ICBP and service providers and training is not necessarily sufficiently adapted to the specific requirements of MRC and NMCs with their focus on IWRM and cross-boundary issues. Also gender could be better mainstreamed across training courses.*

2.74 The provision of training is regarded as a service for which a provider is contracted. Relationships concerned are characterized by short term contracts, which also relate to the procurement requirements for such a process. Based on short term contracts the training in several cases proved to be insufficiently adapted to the specific requirements of staff concerned, though the training organizations would be able to take such specifics into consideration in the development and implementation of the training programme. ICBP can make use of their recent experience in the JRP Project in this respect, where relationships with a key training provider were adapted and their staff was made aware of the specifics of MRC as an organization and its requirements in terms of training, which enhanced the relevance of the training content (in the specific case English language training). This need for adaptation of training to the context of MRC is in particular required for the cross-cutting issues and integrative competencies addressed through ICBP. Specified requirements including on IWRM, trans-boundary issues and gender aspects would need to be included in the TORs of the assignments.

Sustainability⁴³

- 2.75 **Finding:** *Development of capacities of individual staff members has been an important part of the approach of the ICBP. This approach has faced multiple constraints. One of these constraints concerns the high level of staff turnover within various parts of the MRC. With the adaptation of HR management policies and procedures included as part of the ICBP results framework it would be useful for ICBP to put more weight on addressing such underlying constraints. Moreover, in order to enhance the longer term sustainability of training support the programme needs to move towards a more systemic approach to training and training development and devote more attention to evaluation of training to inform the training programme.*
- 2.76 Training on individual staff level, enhancing individual staff competencies in MRCS, NMCs and prioritized Line Agencies, has formed an important part of the approach to capacity building in ICBP so far. This approach appears to face several constraints in terms of the sustained effects that it can have. One of these concerns the high level of staff turn-over in various parts of MRC which limit the effect of training.⁴⁴ Limited career opportunities and high levels of staff turnover in MRCS relate to the employment tenure as part of the 1995 Agreement.⁴⁵ Another issue concerns the selection of staff for training events and their continued participation, in particular in longer term training courses. A third issue concerns the use of a TOT approach in training, while there are not always sufficient funds available for the replication of the training. Finally, there is a lack of evaluation to assess aspects of sustainable results, including tracer studies, conducted a few months after the end of a training course for a selected number of trainings, in order to assess to what extent participants are able to apply their learnings, and evaluation focusing on enhanced effectiveness of (parts of) organizations concerned through training support. There is a need for ICBP to address some of these threats to sustainability of training initiatives and enhance support to adaptation of HR management policies and procedures (included as output 2.1 in the ICBP results framework) identified in the HR review and in the organizational review of 2007.
- 2.77 ICBP has at times addressed more systemic issues of training, including curriculum development and mobilizing member country and other development partners to make funds available for training replication using a TOT approach. There are opportunities to further enhance these systemic aspects of training. One such approach would be to enhance the support planned for the establishment of an active network of key IWRM training institutions in the region and include explicitly dissemination and promotion of MRC materials and manuals. If these key IWRM training institutions would include MRC materials and approaches into their training curricula, this would be a more sustainable way to enhance the quality of regular training on IWRM in the region.

⁴³ The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time. OECD DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, 2002.

⁴⁴ Riparian staff turn-over levels at MRC are high with the average time of staff in position considered to be 2.6 years and staff terms varying between participating countries from 3 to 6 years (two three year periods for staff from Cambodia, Lao PDR and Thailand and one three year period for Vietnamese staff).

⁴⁵ The employment tenure is defined under Article 33 of the 1995 Agreement. In the Riparianization Strategy of 2007 a more flexible interpretation of employment tenure under Article 33 is suggested. *Draft Strategy and Action Plan for Riparianisation of the Mekong River Commission Secretariat*. April 2007.

2.78 **Finding:** *ICBP has paid substantial attention to organizational issues in MRCS though most of these efforts have not yet been finalized and results remain limited. Sustainability could be enhanced through forging linkages between the work done on individual capacities and that on organizational level.*

2.79 In addition to individual staff training, ICBP has paid substantial attention to organizational issues within MRCS. While some of these have been finalized like supporting the development of a procurement manual, others including support to the performance management system and the development of an introduction package for newly appointed staff are still in progress and thus results so far have been limited. The issues addressed are based on wider needs within the organization and these do not directly relate to the training that ICBP supports on individual level. Thus the synergy between addressing issues on individual and organizational level is not yet necessarily realized. There is a need for ICBP to look closer into the relationship between individual and organizational capacities and to search for ways in which work conducted on both levels can be more aligned, so that they can mutually reinforce one another. One clear opportunity appears to be the training on project cycle management and the support provided to the performance management system. Forging of such linkages between individual and organizational capacities will enhance the sustainability of the results achieved.

Impact⁴⁶

- 2.80 **Finding:** Impact level changes of ICBP are located on the level MRC, NMCs and prioritized national agencies and their capacities. With insufficient monitoring of results and the lack of baseline data on capacity issues at the start of ICBP, evaluability of impact level changes is presently limited. Further specifying indicators including those on impact level, improving monitoring of output and outcome level changes and intermittent focused assessment of capacity issues could enhance programme evaluation and inform decision-making on support to capacity development in MRC beyond 2013. The use of capacity self-assessments as a tool could, moreover, reinforce the capacity development process itself.
- 2.81 Impact of the ICBP programme is formulated as part of the programme results framework with two indicators identified to assess change (see table 7 below):

Table 7: The Impact level of the ICBP Results Framework and Indicators concerned

Description	Indicators	Means of Verification
MRC, NMCs and prioritised national agencies demonstrate an increased level of capacity to contribute to MRC objectives	The extent to which MRC and NMCs demonstrate significant improvements in their capacity to perform the 'core functions'	Periodic independent organizational assessments of MRCS and NMCSs, Internal biennial MRC and NMC performance self-assessment Periodic external review of performance of NMCs
	Extent to which the development plans and policies of prioritized national MRC partner agencies adequately incorporate IWRM approaches	Periodic external assessment of IWRM integration into priority line agencies

- 2.88 The impact level change focuses on demonstrated organizational capacities and thus resides on the level of organizations concerned. Indicators identify the capacities concerned, focusing on abilities to perform the 'core functions' and the incorporation of IWRM approaches in development plans and policies. The means of verification for the indicators include a number of specific assessments. In the first half of the programme period these have not been implemented. The latest organizational review was conducted in 2007 and no follow up has been undertaken so far. Some more focused assessments have been conducted, including the HR assessment, which could inform some of the issues concerned.
- 2.89 For impact level evaluation enhanced attention to indicators on impact level is needed, which at present are broad and need to be further specified, aligning them more with the capacity issues that have been addressed by ICBP. This needs to be part of the overall enhancement of the programme results framework mentioned earlier. Moreover, in order to link the impact level changes with programme initiatives, enhanced attention is needed to monitoring of output and outcome level changes of programme activities. This would substantially enhance the evaluability of the programme and could inform decision-making on support to capacity development in MRC beyond 2013.
- 2.90 For the assessment of organizational capacities it would be worthwhile to make use of facilitated capacity self-assessments for (parts of) MRC, NMCs and prioritized national agencies. Such assessments would need to focus on aspects that the ICBP has addressed.

⁴⁶Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. OECD DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, 2002.

Self-assessments often prove to be important elements of capacity building processes themselves, enabling key stakeholders to gather and use information needed to guide and manage change processes concerned.

3 CONCLUSIONS

- 3.1 ICBP objectives have a high level of relevance and respond to a high prevalence of capacity building needs across MRCS, MRC programmes, NMCs and prioritized National Agencies. So far results of the programme have lagged behind expectations though one needs to bear in mind that the level of the outcomes in the results framework is highly aspirational.
- 3.2 Lack of sufficient achievements so far can partly be explained by the difficult start-up of the ICBP. Staffing constraints have played an important part in delaying many of the activities that were planned in the period under review and have limited the outputs and outcomes reached. Clear policy support from senior management for ICBP to address organizational development and related issues could have benefitted the programme but has not always been sufficiently available.
- 3.3 The ICBP team has nevertheless over time managed to show ways in which it can add value to capacities and capacity building initiatives of MRC Programmes, NMCs and prioritized National Line Agencies. Together with the various results that have been achieved to date in each of the outcome areas of the programme this provides good opportunities for the ICBP to make further progress in the second part of programme implementation.
- 3.4 Disbursement rates of the programme have remained below expectation at an overall rate of about 41 %. With most staff including the CTA on board at the start of the second part of the programme and with a clearer focus of ICBP support expectation is that the programme will be able to accelerate spending in the coming programme period.
- 3.5 The programme is not yet sufficiently in a position to practice results based management and remains primarily activity oriented. This relates to the lack of data gathering on output and in particular outcome level changes and results in a lack of guidance towards how to achieve the programme's objectives. There is a need to focus the monitoring of ICBP and to carry out selected studies and survey's as included in the Programme Results Framework. This needs to be done in conjunction with further specification of the framework, including realistic indicators with targets and baseline data in particular on outcome level.
- 3.6 Enhanced monitoring of the programme needs to be used to assess the significance of the results achieved and the implications that this has for further programme implementation, adapting and specifying the PIP 2011-2013 accordingly. This needs to be reflected in results-oriented reporting, assessing to what extent outcome level changes are being realized and identifying constraints and conducive factors concerned. Gathering of baseline data can further enhance the evaluability of the programme at the end of the programme period.
- 3.7 The design of ICBP combines attention to capacity building on individual staff and organizational levels. This since capacities on both levels mutually influence one another within an organization and changes on one level often require changes on the other level. While in the gender work there are linkages between both levels this is less the case in the other outcome areas. This would be an important aspect to reinforce in the coming period. Monitoring of both the results from training and organizational development initiatives can inform programme management.
- 3.8 Regarding the present development of implementation plans for the Basin Development Strategy and the organizational transition process ICBP will need to take a pro-active approach to these processes in a supportive and facilitative role, using its expertise to provide capacity related support to enhance guidance and management of these processes. ICBP on the other hand will need to remain flexible enough to adapt its programming to the changing support requirements of these processes over time.
- 3.9 The location of ICBP within the organizational structure of the MRC has been an issue of discussion for some time. It appears that the present location within the HR Section is beneficial to the training parts of the programme, but constraints ICBP in moving towards addressing capacity issues on the organizational level, something which will become more important given the organizational transition process in MRC, as outlined in the Strategic Plan. Of the various options available, location in a separate Capacity Building Support

section appears the best suited for most of the functions that ICBP performs. This will provide the organization with a longer term solution to address capacity development requirements within the organization. With capacity building included as one of the core functions of the MRC this appears a justifiable approach.

- 3.10 Assessment of impact is presently not feasible with the lack of baseline data and relatively broad impact indicators. With the enhancement of the results framework, including specification of indicators at the impact level, and reinforcement of monitoring of output and outcome level changes, evaluability of the programme can be substantially enhanced in the second part of the programme. This would provide vital means to inform decision-making on extension of capacity building support in MRC beyond 2013.
- 3.11 Sustainability of results so far is limited. It is time for ICBP to focus more clearly on some of the underlying organizational constraints which have been identified in several assessment studies. Moreover, there is a need to explicitly link work on individual staff level with work on organizational issues and to take up a more systemic approach to training in order to enhance the sustainability of the results achieved.

4 RECOMMENDATIONS

4.1 Continue the implementation of ICBP with the following adaptations:

- Identify the capacity building priorities for ICBP in the coming two year period in line with the MRC strategic plan and making use of the options identified during this mid-term review and adapt the PIP 2011-2013 accordingly
- Review the location of ICBP within the MRCS organizational structure and adapt the location in order to enhance the ability of the programme to move increasingly towards addressing organizational issues and to apply a systemic rather than an ad hoc approach. The option of ICBP location in a new service providing section (see organizational chart on page 16) appears the most adequate position for ICBP to provide the necessary support, in particular to organizational aspects as part of MRC's transition process as outlined in the MRC Strategic Plan.

4.2 Further raise ICBPs profile to become a well-known supporter to the quality of capacity development processes within MRC, NMCs and related Line Agencies.

- Develop guidelines and tools for capacity needs assessment, capacity building implementation, assessment of results, tailored to the requirements of MRC and its programmes, NMCs and Line Agencies, making use of existing knowledge in UN and other organizations
- Support MRC programmes and NMCs in capacity building activities, ensuring the quality of the CB process in the various stages of the programme cycle. Facilitated participatory organizational capacity assessments would be useful means in this respect.
- Support and coordinate systematic assessment of results of capacity building initiatives, informing the planning of capacity building in MRC. Given the present importance of training in capacity building it would be useful to start with systemic evaluation of training including conducting tracer studies for selected initiatives. This could in a later stage be expanded to evaluation of organizational development aspects of the programme.
- Adopting a process-oriented approach, which will enable ICBP to shift roles as capacities get into place
- To expand ICBPs approach to networking to include supporting the use of MRC materials, tools and approaches by key training institutes in the region and in this way developing a more systemic approach to training
- Further enhance capacities of ICBP coordinators through quarterly meetings and developing a longer term plan in this respect

4.3 Enhance the ability of the programme to manage for development results and to use results based management to inform the process of capacity building

- Need to enhance the ICBP results framework, make it more realistic with measurable indicators including targets and baseline data (as of 2011)
- Conduct evaluative studies on selected aspects of the ICBP programme in order to assess results
- Systemic approach needed to the evaluation of training across the organization, identifying selected trainings for tracer studies

- Enhance analysis of monitoring data and reporting, moving beyond activities and their outputs to the extent to which results are being achieved, and the implications that this has on programme management, making use of indicators concerned. Reported results need to reflect the total project period rather than the reporting period
- 4.4 Enhance the approach to gender by focus on the incorporation of gender in the design phase of programmes, including CDAP and enhancing effects through the use of a leveraging approach in particular in building capacities of NMCs and prioritized Line Agencies
- 4.5 Further refine the JRP project, and build on the improvements made so far through:
- Enhance the recruitment process, making it more open and transparent
 - Reinforcing the linkages of recruitment with the opportunities for *on the job* training in MRC programmes
 - Slightly increase the number of JRPs in particular from Cambodia and Lao PDR
 - Strengthen the alumni network and develop alumni activities, making use of the capacities of the alumni themselves
- 4.6 Plan for continuation of ICBP beyond 2013, in order to ensure longer term support to the MRC capacity building process.
- With the ICBP meant to fulfil specific roles and functions as part of the MRC Strategic Plan 2011-2015 it would be necessary to bring the timeframe of the ICBP programme in line with the period of the strategic plan.
 - Preferably the program would extend 6 months beyond this period, to enable inclusion of planning for a follow-up phase (irrespective of who would fund)
 - Inclusion of an ICBP program evaluation 3 to 4 months prior to the end of the present programme period, to assess progress achieved and to create a decision-point for continuation of support

Annex 1: Terms of Reference



Mekong River Commission

Office of the Secretariat in Phnom Penh (OSP)

576 National Road, #2,
ChakAngreKrom,
P.O. Box 623, Phnom Penh,
Cambodia
Tel. (855-23) 425 353. Fax (855-23) 425 363

Office of the Secretariat in Vientiane (OSV),

Office of the Chief Executive Officer
184 FaNgoum Road,
P.O. Box 6101, Vientiane, Lao PDR
Tel: (856-21) 263 263. Fax: (856-21) 263 264

Mid-term Review Terms of Reference

1. Project Title: Integrated Capacity Building Programme (ICBP) 2009-2013

2. Title of Consultancy: *Mid-term programme review*⁴⁷

3. Duty station:

- Office of the MRC Secretariat in Vientiane (OSV) with possible travel to the Office of the MRC Secretariat in Phnom Penh (OSP) and Member Countries.
- 20th June – 1st August 2011 with a maximum of 30 working days including travelling.

4. Purpose and Objective:

The Mekong River Commission (MRC), an international river basin organisation, has more than 50 years of regional knowledge and experience. On April 5, 1995, Cambodia, the Lao PDR, Thailand and Viet Nam, signed the “Agreement on the Cooperation for the Sustainable Development of the Mekong River Basin” which recognised the need for cooperation in all fields of basin development, resource management and environmental protection. The member countries by working together and through informed dialogue would be able to develop and agree upon rules and strategies for sustainable water management.

In 2003, the MRC, with support from the UNESCO-IHE Institute for Water Education, developed an Integrated Training Strategy and Programme (ITSP) which sought to bring the MRC’s various training needs under one umbrella, and to address these through a single comprehensive and coherent training programme. A comprehensive assessment of MRC’s training needs concluded that improved professional knowledge and organisational development skills were required to accomplish the MRC’s mission, and to address the functional elements of the organisation.

The resulting strategy was to develop a critical mass of human resources at the Mekong River Commission Secretariat (MRCS), the National Mekong Committees (NMCs) and the line agencies by means of a comprehensive long-term training programme which should integrate existing MRC training activities, and focus on cross-cutting areas of knowledge, and related skills and attitudes. Although there was strong support from the Lower Mekong Basin (LMB) countries, the programme did not proceed since it was unable to attract the necessary funding.

In 2007, AusAID, the Australian Agency for International Development, expressed an interest in building on the ITSP process by supporting the development and implementation of a capacity building programme. This should target the MRCS, the NMCs and the line agencies and be well integrated with the MRC structure. The MRCS has therefore prepared an Integrated Capacity Building Programme (ICBP) document through a two-step process:

- Step 1, implemented in January-February 2008, identified and planned priority capacity building activities for an initial twelve-month period and established an ICBP team within the MRCS.

⁴⁷ Comments from the ICBP SC members were incorporated in to the revised TOR (*in italic parts.*)

- Step 2, begun in July 2008, focuses on the implementation of four priority training activities, and the formulation of the ICBP document, which was formulated through consultation with the MRC programmes, and a series of national consultations with the NMCs and prioritised national agencies in the four countries. A regional meeting followed in March 2009. There is now full alignment of the member countries behind the proposed ICBP strategy, scope and implementation arrangements.

The ICBP 2009-2013 builds on the ITSP, and on other completed or ongoing MRC capacity assessment and building activities, namely (i) the Independent Organisational, Financial and Institutional Review (OR), (ii) the Junior Riparian Professional Project (JRPP), (iii) the MRC Internships, (iv) the Gender Mainstreaming Project (GMP), (v) the training activities under the Operating Expenses Budget (OEB) and (vi) the various capacity building activities across MRC Programmes.

A mid-term review is required to:

1. Assess the overall progress of the ICBP with regards to activities and outputs, and assess and analyze the major concerns, risks and assumptions for the success of the programme in the last 18 months from June 2009- to December 2010. Annex 1 is the ICBP Design and Monitoring framework for reference.
2. Obtain objective views on the programme and its achievements in this evaluation period.
3. Measure the level of gender sensitiveness in all ICBP activities in the past 18 months and propose steps to further mainstream and monitor gender equality in MRC Programmes as well as to all ICBP activities and approaches.
4. Gain recommendations for the improvement of the implementation of the programme toward more results-based approaches for next phase (2011-2013).

5. Outputs:

A comprehensive assessment report describing:

- The overall progress of ICBP implementation and management in the period from June 2009 to December 2010 that stating clearly
 - The effectiveness and efficiency of programme planning, implementing and managing in the assessment period,
 - The key programme achievements and lessons learned
 - The major concerns about the sustainability of the programme
 - The alignment of the programme to the MRC SP 2011-2015
 - The relocation of the ICBP within the MRCS.
- The challenges and risked faced, *programme's risks management* process and possible risks for the next phase 2011-2013
- The recommended performance indicators for ICBP in the next 3 years in comparison to the overall MRC's outcomes and targets set for capacity building.
- Recommendations for the next phase 2011-2013 in relation to:
 - More effective and efficient planning, implementing and managing the programme,
 - The areas of focus and priorities for the coming phase.
 - The possibility of the ICBP beyond 2013.
 - Capacity building plan for the ICBP team both at regional and national levels.

6. Responsibilities and Task:

Followings are the key tasks of the consultant:

- Desk review of the secondary data related to the designing, planning and implementing of the ICBP 2009-2013

- Meet/Interview key stakeholders involved in the implementation process e.g. representatives from NMCs, prioritised national LAs, related MRC programmes, ICBP Steering Committee Members, ICBP team members, etc.
- Interview ICBP Development Partners,
- Analyse information and write up the assessment report.
- Brief the results to the ICBP
- Finalise the report
- Present the report to MRC Senior Managers, representatives from NMCs and Development Partners
- Finalise review report.

7. Itinerary:

Work	Number of days	Tentative dates
Desk review of the secondary data related to the designing, planning and implementing of the ICBP 2009-2013	3 days	May 3 rd to 5 th 2011
Meet/Interview key stakeholders involved in the implementation process e.g. representatives from NMCs, prioritised LAs, related MRC programmes, ICBP Steering Committee Members, etc.	10 days	May 9 th to 21 st 2011
Interview ICBP Development Partners,	3 days	May 23 rd to 27 th 2011
Analyse information and write up the assessment report (1 st Draft Report)	5 days	June 1 st - 8 th 2011
Brief the results to the ICBP	1 day	10 th June 2011
Finalise the report (2nd Draft Report)	1 day	13 June 2011
Present the report to MRC Senior Managers, representatives from NMCs and Development Partners	1 day	14 th June 2011
Finalise report (Final report)	1 day	17 th June 2011
Extra travelling	5 days	
Total number of days	30 days	

8. Working Principles / Reporting line: the consultant work directly with the ICBP Coordinator and the ICBP Planning, Monitoring and Communication Programme Officer.

9. Qualifications / Requirement:

- Master or PhD degree in human resources management, social sciences, development management or other related field;
- 15 years of experience leading the design and implementation of capacity development programmes;
- Extensive experience in evaluating capacity building or human resource development project, especially in Asia context;
- Proven track record in conducting complex assessment of capacity development programmes;
- Strong expertise and experience in facilitating workshops;
- Excellent written and oral communication skills in English;

- Familiarity with the LMB and Mekong River Commission.

10. Condition of payment: Payment will be made with 60% at the end of the mission and 40% when final report is approved.

12. Signature Block:

Programme Coordinator

Consultant

Name: _____

Name: _____

Date: _____

Date: _____

I. Annex 1: ICBP Design and Monitoring Framework

This log-frame sets out the goal, the overall objectives, the outcomes (presented as immediate objectives) and the outputs for the ICBP, and sets out a project monitoring framework emphasising the indicators for measuring the ICBP impact. During the start-up phase of the ICBP, more detail will be added once baseline data has been gathered. Additional targets will be set as indicators.

Programme Goal			
The MRC, NMCs and prioritised national agencies have significantly increased their effectiveness in ensuring the sustainable development of the Mekong and related resources			
Programme objective	Indicators	Data Sources/reporting	Risks
MRC, NMCs and prioritised national agencies demonstrate an increased level of capacity to contribute to MRC objectives.	1) The extent to which MRC and NMCs demonstrate significant improvements in their capacity to perform the “core functions”. 2) Extent to which the development plans and policies of prioritized national MRC partner agencies adequately incorporate IWRM approaches.	1.1) Periodic Independent Organisational assessments of MRCS & NMCSs 1.2) Internal biennial MRC & NMC performance self-assessment 1.3) Periodic external review of performance of NMCs 2.1) Periodic external assessment of IWRM integration into priority line agencies)	1) Adequate funding for ICBP is not secured to provide for the comprehensive implementation of the planned outputs. 2) Insufficient high-level commitment by senior management to capacity building. 3) The target organisations will not have the appropriate non-HR resources in place to deliver on their mandates, and the necessary political does not exist to enable the institutions to function effectively.

Intermediate Outcomes				
1.	MRC, NMCs and prioritised national agency staff have the necessary technical competencies to integrate IWRM principles into policy making, planning	1.1) Quality of the technical outputs of the national agencies in the area of IWRM (e.g. policy documents plans, guidelines, etc).	1.1.1) Periodic independent assessment of IWRM integration by national agencies	4) MRC, NMCSs and national agencies do not retain and sustain learning paths and IWRM competencies, and do not apply IWRM principles systematically to Mekong-related policy planning
		1.2) Quality of the technical outputs of the MRCS in the area of IWRM (e.g.	1.2.1) Strategic Plan Reviews	

	and implementation.	policy documents plans and guidelines).	1.2.2) Periodic MRC Programme Reviews	and implementation.
			1.2.3) Periodic independent assessment of IWRM integration by MRCS.	
		1.3) Key stakeholders' (*MRC policy definition) perceived level of improved capacity of management and professional staff of MRCS in integrating IWRM principles.	1.3.1 Stakeholders survey regarding the perceived levels of improved capacity in integrating IWRM principles.	
2.	MRC and NMCS (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives.	2.1) Quality of leadership and management systems (FA, HR, PCM, etc.) at MRCS (organisational and programme levels) and of NMCSs.	2.1.1) Periodic Independent Organisational assessments of MRCS	5) MRCS and NMCSs do not sustain learning paths in organisational development, and do not adequately adapt the organisational systems to sufficiently integrate new learning into the operations of the organisation.
			2.1.2) MRCS staff annual assessments of various management systems	
			2.1.1b) Periodic assessment of performance of NMCS	
		2.2) Perceived quality of MRC and NMCSs – in terms of core functions and key outputs by prioritised national agencies.	2.2.1) Perceptions survey amongst relevant national agencies	
3	Gender is mainstreamed within the MRCS and national agencies integrate gender aspects more effectively into their IWRM work.	3.1) The extent to which MRCS organisational policies, strategies and procedures are gender responsive.	3.1.1) Periodic Independent Organisational assessments of MRCS	6) Inadequate commitment and insufficient capacity achieved in applying gender responsive development to contribute to the MRC objectives.
			3.1.2) MTR and Programme Evaluation	

		3.2) The extent to which MRCS programmes explicitly plan and budget the integration of gender aspects into their programmes and project-cycle management work.	3.2.1) Programme Reviews & Evaluations	
			3.2.2 Review of MRCS programme implementation plans and annual plans by gender specialists in the regional network.	
		3.3) Level of gender responsiveness of principal plans, policy documents and projects/programme proposals produced by national agencies.	3.3.1) Focus group discussions with relevant staff from national agencies	
			3.3.2) MTR and Programme Evaluation	
4.	An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of the MRC.	4.1.1) Extent to which all MRCS & NMC CB forms part of a demand-driven, coherent, monitored and evaluated plan.	4.1.1) Periodic Independent Organisational assessments of MRCS & NMCSs	7) The capacity building planning & coordination mechanism is not sufficiently cost effective to sustain the long-term capacity building required by the MRC.
			4.1.2) MTR and Programme Evaluation	
		4.2) Perceptions of clients (national agencies, MRC staff, NMCs) of coherence, effectiveness, sustainability of MRC CB coordination and delivery processes.	4.2.1) ICBP Client Satisfaction surveys.	
		4.3) Proportion of MRC CB service providers from within the LMB (Target – significant increase)	4.3.1) MRCS procurement/contract statistics	
		4.4) Level of development of a collaborative network of IWRM CB organizations (institutes/universities)	4.4.1) Focus group-based annual CB network review.	
		4.5) Quality, quantity and timeliness of	4.5.1) ICBP annual reports	

		ICBP outputs and level of execution of annual workplans.		
			4.5.2) Internal MRC monitoring reports	

Outputs under Intermediate Outcome 1: MRC, NMCs and prioritised national agencies have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation.				
		Indicators	Data Sources/reporting	Risks
1.1	General IWRM Competencies of all MRCS, NMCS and selected staff of prioritised national agencies are strengthened.	1.1.1) % of targeted individuals who participate in IWRM capacity building activities. (Target of 559 participants in total).	1.1.1.1) Training Database	8) Excessive expectations of ICBP to target large number of beneficiaries in the prioritised national line agencies. 9) ICBP activities exceed the absorptive capacity of the recipient organisations and individuals are overwhelmed.
		1.1.2) 70% of target beneficiaries report application of IWRM-related learning to the work in their respective agencies.	1.1.2.1) Follow-up surveys for application of learning to work assignments (Participants and supervisors surveyed).	
			1.1.2.2) Case studies of significant change for specific CB processes.	
1.2	Specialised IWRM competencies for MRCS programmes are strengthened for selected staff of MRCS, NMCSs and prioritised national agencies.	1.2.1) % of targeted individuals who participate in specialised IWRM capacity building activities.	1.1.2.1) Training Database.	10) Poor advance coordination and planning with the programmes may lead to exceedingly high expectations of ICBP or poor working relations.
		1.2.2) % of targeted participants assessed as having achieved significantly increased competencies in specialised IWRM areas.	1.2.2.1) Follow-up surveys for application of learning to work assignments (participants & supervisors surveyed)	
			1.2.2.2) Assessment of competencies by individuals and at agency level.	

1.3	IWRM competencies of young professionals are developed through the delivery of the JRP Development Training Programme.	1.3.1) Number of young professionals graduate from the JRP training programme (target 40)	1.3.1.1) JRP trainees list within database.	11) The hosting of junior professionals by the programmes causes frustration due to high workloads or poor matching of JRPs to programme.
		1.3.2) % of JRP graduates assessed as having achieved significantly increased competencies in specialised IWRM areas.	1.3.2.1) Alumni network tracer studies undertaken annually.	
1.4	Sharing of expertise and experience between MDBA and MRC contributes to improved understanding of IWRM.	1.4.1) Specific Indicators developed within revised partnership agreement	1.4.1.1) Periodic review of ICBP	12) The SLP phase III may not match the priorities of re-oriented MDBA and may be poorly integrated into the ICBP programme implementation.
1.5	IWRM-related learning facilitated through MRC Internships, professional work exchange opportunities & by provision of scholarship-related information.	1.5.1) Number of exchange CB initiatives (internships, work exchanges, scholarships) facilitated annually. (Target 4 annual internships, 2 professional work exchanges annually, 2 scholarships achieved annually.)	1.5.1.1) Training database in Programme Annual report.	13) The absorptive capacity of the programmes for JRPs and interns is exceeded. 14) Work exchanges between the various agencies such as the NMCSs and prioritised national line agencies are not structured sufficiently well to ensure maximum learning opportunities.
		1.5.2) % of graduates from internships & work exchange processes report application of learning (Target at least 80%).	1.5.2.1) Follow-up surveys of trainees and supervisors	

Outputs under Intermediate Outcome 2: MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives.				
2.1	MRC Human Resource Management policies and procedures to support capacity building revised and applied.	2.1.1) MRCS and NMCS staff assess revised HRM policies and procedures as effective in supporting the development of a learning and KM culture within MRC.	2.1.1.1) Focus group discussions	15) Inadequate revisions are made to the HR policies and procedures to sustain learning paths and IWRM competencies through (a) retaining and attracting high quality staff, and (b) for promotion and motivation of staff through performance management.
		2.1.2) Extent to which new HR policies and procedures provide for longer term contract arrangements with MRCS.	2.1.2.1) Periodic Independent Organisational assessments of MRCS & NMCSs	
2.2	Leadership and Management competencies strengthened within MRC (Secretariat & Governance bodies) and NMCs.	2.2.1) % of key staff in management positions in MRCS & NMCSs report improved knowledge and skills resulting from participating in leadership & management capacity building. (Target 100%)	2.2.1.1) Training database 2.2.1.2) End of leadership CB process surveys and action plans 2.2.1.3) Post Leadership CB Follow-up surveys	16) Insufficient high-level support for change management processes initiated under ICBP is established and maintained throughout the programme, in particular when the new riparian CEO is assigned in 2011.
		2.2.2) Adequacy of MRC leadership and management as assessed by independent reviews of MRC.	2.2.2.1) Periodic Independent Organisational assessments of MRCS & NMCSs.	
2.3	Selected MRC organisational systems strengthened.	2.3.1) Strengthened organisational systems (target 4)	2.3.1.1) Periodic Independent Organisational assessments of MRCS & NMCSs 2.3.1.2) MRC manuals	ICBP places too much attention on training course provision and training systems implementation at the expense of the more strategic aspects of strengthening the organisational systems (i.e. other aspects of organisational development, facilitation and coordination).
		2.3.2) Improved organisational systems contribute to organisational effectiveness	2.3.2.1) Organisational review 2.3.2.2) Focus group discussions	
		2.3.3) Results from ICBP annual monitoring plans	2.3.3.1) ICBP results-based monitoring reports	

2.4	General organisational development competencies of staff of MRC (Secretariat and Governance bodies and NMCSs) strengthened.	2.4.1) % of targeted individuals who participate in organisational development capacity building activities.	2.4.1.1) Training database	ICBP activities exceed the absorptive capacity of the recipient organisations and individuals are overwhelmed. Resistance to involvement in more contemporary capacity building approaches.
		2.4.2) % of CB Beneficiaries reporting significantly improved organisational development performance in their work. (Target - 75%)	2.4.2.1) Follow-up surveys 2.4.2.2) Case studies of significant change	
2.5	Core training programme for new staff is established and implementation coordinated.	2.5.1) Modules designed as part of core training programme for new staff by end of 2010. (target 4 modules)	2.5.1.1) Training materials available for all new staff at MRC.	19) Insufficient time is allocated to new staff to allow them to focus on core training programmes which are not perceived as a priority over technical aspects of programmes.
		2.5.2) % of new staff successfully completing the training programme	2.5.2.1) Training database	
		2.5.3) Level of satisfaction of MRC general and programme management with the results of the core training	2.5.3.1) Follow-up surveys	
		2.5.4) Perceived contribution of core training programme to improved performance of the MRC.	2.5.4.1) Focus group discussions	

Outputs under Intermediate Outcome 3: Gender is mainstreamed within the MRCS and all IWRM work of the MRC, NMCs and prioritised national agencies is made gender responsive.

3.1	MRC gender strategy and policy mainstreamed into MRCS systems, procedures and guidelines.	3.1.1) Gender responsive development incorporated into all major MRCS procedures & guidelines.	3.1.1.1) Periodic Independent Organisational assessments of MRCS & NMCSs 3.1.1.2) Manual & guideline documents 3.1.1.3) Surveys of MRCS staff & focus group discussions on specific aspects of policy application.	20) Efforts to mainstream gender within the MRCS and make changes to MRCS manuals, but insufficient resources are allocated to enable all programme documents and plans to be reviewed to ensure gender responsive development is sufficiently addressed.
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3.2	Gender responsive approaches are mainstreamed into the MRC sectoral programmes.	3.2.1) MRCS programme workplans allocate budget and human resources to gender responsive development activities.	3.2.1.1) Programme workplans and review reports 3.2.1.2) Programme case studies	21) Efforts to mainstream gender in the MRCS programmes fail to be reflected in the implementation of activities with the prioritised national agencies.
3.3	Gender responsive capacity of the NMCSs and the prioritised national line agencies is developed through gender awareness raising, training and pilot project implementation.	3.3.1) 70 % of participants from gender responsive capacity building at national agencies fully satisfied with relevance and effectiveness of capacity building.	3.3.1.1) Follow-up surveys 3.3.1.2) Focus group discussions	22) Efforts to make all IWRM work of the NMCs and prioritised national agencies is confused with efforts to mainstream gender across those agencies and some focus on achieving the objective is lost.

Outputs under Intermediate Outcome 4: An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of the MRC.

4.1	MRC (Secretariat and NMCs) capacity building planning, information management, coordination and monitoring and evaluation system is established.	4.1.1) 4 annual plans with associated information on participants course materials and M&E reports (4 annual plans)	4.1.1.1) ICBP annual reports 4.1.1.2) Training database	23) The mechanism to support the planning, information management, etc is poorly conceived at the outset and requires multiple revisions and adjustments. 24) Challenges arise with linking the ICBP results-based monitoring and evaluation process to the MRC system.
		4.1.2) Improved planning coordination and integration of capacity building in MRC and NMCS	4.1.2.1) Survey of programmes & NMCs 4.1.2.2) ICBP MTR & Evaluation	
4.2	National capacity building plans (covering NMCs and prioritised national agencies) prepared and implementation monitored by NMCSs.	4.2.1) 4 annual capacity building plans for each of the four countries.	4.2.1.1) Annual MRC capacity building reports	25) Insufficient efforts are provided in developing the capacity of the NMCSs to enable them to lead the planning process at the national level.
		4.2.2) 80% of NMCS and national agency target beneficiaries report application of learning from nationally implemented capacity building.	4.2.2.1) Surveys to follow-up on nationally implemented activities	

4.3	Lessons learned on capacity building processes documented and disseminated.	4.3.1) 4 annual briefs sharing lessons learned from capacity building processes.	4.3.1.1) MRC Annual capacity building report	26) Lessons are learned for individual activities but are poorly applied to new activities.
4.4	MRC programmes supported with capacity building methodological advice	4.4.1) Number of requests for assistance from programmes and NMCSs	4.4.1.1) ICBP annual reports 4.4.1.2) Surveys to follow-up on services provided by ICBP	27) Demand for capacity building services is not sustained because of insufficient staff resources within ICBP.
4.5	Capacity building materials repository (open access) established	4.5.1) Number of material sets entered into a) physical repository and b) electronic repository annually.	4.5.1.1) ICBP annual reports	28) The process of reviewing capacity building materials to be uploaded to the electronic repository is excessively time-consuming to address quality control procedures, etc.
		4.5.2) Number of searches for resources in the physical and electronic repositories annually	4.5.2.1) ResourceCenter 4.5.2.2) Portal statistics	
4.6	A regional network of training and education institutions is established to support long term sustainable capacity building in IWRM.	4.6.1) Number of active network members.	4.6.1.1) Annual network reports in ICBP Annual report	29) Insufficient interest of the training institutions and universities in participating in a regional capacity building network.
		4.6.2) 60% of network members report positively on participation in network and application of shared learning.	4.6.2.1) Surveys of network members.	
5.1	5.1) Effective and efficient programme management and communication.	5.1.1) 70% of ICBP activities in annual workplans implemented in a timely and quality manner.	5.1.1.1) ICBP annual reports	30) ICBP management is inadequate to cope with the complexity and scale of the programme. 31) The normal risks associated with significant financial management, procurement of services and contracting apply to this programme.
		5.1.2) Disbursement targets achieved & procurement in accordance with procedures.	5.1.2.1) Steering Committee Minutes	
		5.1.3 Audits assess financial management and reporting as fully satisfactory.	5.1.3.1 MRCS Financial audits	

2. *Performance indicators at Output levels and milestones set for ICBP 2011-2013*

Intermediate Outcome 1: The MRC, NMCs and prioritized national agencies have the necessary technical competencies* to integrate IWRM principles into policy making, planning and implementation.			
	Output	Performance indicators	Milestones
1.1	General IWRM competencies are strengthened.	<ul style="list-style-type: none"> Competency framework is acknowledged and applied by all MRC programmes. MRC programmes obtain adequate support to actualise the riparianisation processes. % of identified IWRM competencies has been developed in the NMCs % of programs professional staff finds the coaching process increases their knowledge & skills transfer 	<ul style="list-style-type: none"> Complete competency framework for MRC is available at the end of 2011 Coaching modality is applied successfully throughout MRC Programmes for knowledge and skills transfer. Each year, 2 participations are selected for priority international conferences, one from a member countries and one from MRCS.
1.2	Specialized IWRM competencies for MRCS Programmes are strengthened	<ul style="list-style-type: none"> BDP, M-IWRM-P, CCAI, ISH, FMMP, IKMP, ICCS, etc. receive adequate support in implementing the different IWRM capacity building plans with good results. % of MRC programs are satisfied with ICBP CB support in implementing the IWRM Capacity Building Plan 	Identified MRC Programmes receive adequate technical and methodological support on capacity needs assessment, capacity building designing, planning, monitoring and evaluation.
1.3	Junior Riparian Professional (JRP) Development Process	<ul style="list-style-type: none"> JRP project is efficiently and effectively managed with all Batches fulfil their training needs on IWRM and related disciplines. # of JRP graduates per annum # of JRP graduates assess before and after capacity building as having increased their knowledge & skills in IWRM 	<ul style="list-style-type: none"> Batch 5 of Phase 2 completes successfully the learning process through different training courses and on the job training at MRCS. Evaluation of Phase II successful carried out. JRPs from the GMS countries identified, participated and trained on different identified IWRM disciplines. Batch 6, 7, 8, 9 and 10 are recruited and trained according to plans. JRP programme reviews and evaluation conducted with quality results. Cases of successful JRP documented. Network of JRP Alumni operational.

1.4	MRC/MDBA/AusAID Strategic Liaison Partnership	<ul style="list-style-type: none"> The Partnership is sustained for the best possible benefits of both two Basin organisations – the Murray Darling and the Mekong River. 	<ul style="list-style-type: none"> IWRM training materials updated, delivered and applied with paired Case Studies across the Murray-Darling Basin (MDB) and Mekong River Basin (MRB) in support of the Basin Development Planning (BDP) process with more than 5 paired case studies conducted and evaluated and 10 pilot/case study handbooks ready for publication – the Mekong Development Series. Networks and mentoring groups established and implemented for the professional staff of MDBA and MRC to strengthen communication, coordination and IWRM application amongst National Mekong Committees (NMCs), line agencies and MRC Secretariat (MRCS) with a list of professional staff with clear roles/responsibilities and discussion topics A programme of structured technical support and exchange between MDBA and MRC on priority IWRM issues designed, implemented and sustained.
1.5	Internships, professional work exchange opportunities and by provision of scholarship-related information.	<ul style="list-style-type: none"> MRC continue to be a learning and knowledge exchange centre in the region for effective basin development and management. # of exchange CB initiatives (internship, work exchanges, scholarships) 	<ul style="list-style-type: none"> Four interns are hosted successfully in each of the Secretariat Office. Internship guidelines finalized and launched in 2011. A process for sharing scholarship information established in 2011

Intermediate Outcome 2: The MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives.

	Output	Performance indicators	Milestones
2.1	MRC Human Resources (HR) Management policies and procedures to support capacity building revised and applied.	<ul style="list-style-type: none"> HRS has adequate and high quality support in the different processes to enhance HR competencies within the MRCS system. % of MRC staff are satisfied with the HR Policies & procedures to support staff learning & development 	<ul style="list-style-type: none"> HRS receives sufficient supports and advises from MRC and NMCs to complete the review and revise of the HR Policies. MRCS and NMCS staff access and implement revised HRM policies and procedures as effective in supporting the development of a learning and knowledge management culture within MRC. New HR policies and procedures launched and applied.

2.2	Leadership and Management competencies strengthened within MRC and NMCs	<ul style="list-style-type: none"> • Key management staff at MRCS & NMCSs are provided with high quality and most relevant leadership and management skills. • % of targeted leaders increased their leadership rating from 360 degree feedback 	<ul style="list-style-type: none"> • Key management staff at MRCS & NMCSs be trained and coached on leadership & management knowledge and skills related to Management of International River Basin Organization. • Practical guidelines or principles for MRC on leadership and management for IWRM is developed and available.
2.3	Selected MRC organisational systems strengthened	<ul style="list-style-type: none"> • The different MRC Sections/Unit got the adequate and quality support to improve selected MRC organisational systems e.g. PMS, Procurement, Finance, Administrative, Programme Management, Core Functions Decentralisation, etc. • % of programs are producing performance report regularly • Why do we need to improve the procurement policies? • Why do we need to improve the Admin Manual? • Why do we need to improve the Finance Manual? • % of FAS satisfaction with ICBP support in Procurement, 	<ul style="list-style-type: none"> • Capacity building progress for the PMS application is supported. • ICBP takes an active part in the development of the road map for decentralisation of the river basin management core functions. • Active participation in the revision and finalisation process of the MRC Programme Management Manual and Capacity building activities implemented at the MRCS and NMCs. • FAS has adequate support to (a) update the Procurement policies, and (b) to train MRC staff on the application of the updated procurement policies. • FAS has adequate support to (a) revise the MRCS administration manual, and (b) to provide training to MRC staff on the updated manual application. <p>FAS has adequate support to revise the Finance Manual and (b) to provide training to MRC staff on the updated manual application.</p>

		Admin & Finance policies & manual	
2.4	General organisational development competencies of staff of MRC and NMCSs, strengthened.	<ul style="list-style-type: none"> • MRC self-financed capacity development fund (OEB) is effectively and efficiently used and managed and sustainable staff development plans developed. • How is the OEB well managed? • CB investment ratio for staff development 	<ul style="list-style-type: none"> • MRCS Learning guideline to be developed and finalized by mid-2011 with (a) application policy and procedure, (b) staff eligibility criteria, (c) user-friendly checklist for reference. • ICBP budget allocation including the OEB budget allocations for each year are well planned and managed to support the enhancement of identified MRCS and NMCSs staff • Staff training programme and data are well managed and learning reports are consolidated for monitoring and evaluation of the staff development programme.
2.5	Core-training programme for new staff is established and implementation coordinated	<ul style="list-style-type: none"> • MRC professional staff training and orientation package is available with proper methodology and approaches to deliver to new staff, especially those are hired under the new SP 2011-2015. • % of new staff completed the staff orientation process • % of new staff are satisfied with the staff orientation package 	<ul style="list-style-type: none"> • Professional staff orientation package developed and available and applied • Up to date IWRM training module package for MRCS available and applied • Monitoring system on utility of the IWRM training modules produced and applied.

Intermediate Outcome 3: Gender is mainstreamed within the MRCS, and the national agencies integrate gender aspects more effectively into their IWRM work.			
	Output	Performance indicators	Milestones
3.1	MRC gender strategy and policy mainstreamed into MRCS systems, procedures and guidelines.	<ul style="list-style-type: none"> • Timely and quality technical advices on gender mainstreaming are provided to the different MRC sections/unit/programmes. • Required gender related guidelines and database are available for in-house utility. • % of Gender strategy are incorporated into MRC sections/units and programs 	<ul style="list-style-type: none"> • Action plan for gender mainstreaming in the MRCS in September 2011 and activities implemented onward. • Procurement, HR and personnel manuals are incorporated with gender equality and non-discrimination aspects by mid-2011. • HR data system is reviewed and sex-disaggregated database by end 2011 • Gender toolkits are available in 5 languages by end 2011 • MRC Gender Policy and Strategy are made available in 5 languages (English, Cambodian, Lao, Thai, and Vietnamese) by mid-2011. • Draft MRC Sexual and Cultural Harassment Guidelines by third quarter 2011.
3.2	Gender responsive approaches are mainstreamed into the MRCS sectoral programmes (documents, implementation teams, budgeting, M&E, and reporting)	<ul style="list-style-type: none"> • High quality technical advices are provided to MRC programmes to mainstream gender into basin development and management activities. • % of MRC Programs work plan incorporated Gender responsive development activities 	<ul style="list-style-type: none"> • Different gender mainstreaming and piloting activities within identified MRC programmes are supported in designing, implementing and monitoring. • IWRM ToT Manual is gender responsiveness. • All ICBP capacity-building activities are gender sensitive. • Guidelines for gender mainstreaming, outcome-mapping on gender responsiveness, etc. are developed and applied across all capacity building activities within MRC systems at all levels.
3.3	Gender responsive capacity of the NMCSs and the prioritised national line agencies is developed through gender awareness raising, training and pilot project implementation.	<ul style="list-style-type: none"> • High quality case studies in gender mainstreaming are documented and disseminated in the Member Countries for adaptation. • High quality technical advices provided to MRC Member Countries for the designing, implementing and monitoring of different pilot projects on gender 	<ul style="list-style-type: none"> • Two programmes for exchanging and sharing of best practices and lessons learned in gender mainstreaming among the Member Countries is organized annually. • Selected projects in the four Member Countries have piloted activities on gender mainstreaming beginning in mid-2010. • Four national gender teams continue to receive technical support on gender mainstreaming in the work of their respective agencies.

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Intermediate Outcome 4: An effective integrated and sustainable capacity building mechanism is established and functioning to support the MRC work.

	Output	Performance indicators	Milestones
4.1	MRC and NMCs capacity-building planning, information management, coordination and monitoring and evaluation system is established.	<ul style="list-style-type: none"> % of the user finds the CB planning and M&E guideline / manual useful in their CB planning process. % of MRC programs finds the CB M&E System help improve CB accountability Quality rating of the data in ICBP database % of targeted staff has the competencies in using the CB M&E System effectively 	<ul style="list-style-type: none"> Developed guideline / manual for Capacity Building Planning Process & CB M&E by August 2011 Established MRC CB M&E System by May 2011 ICBP database upgraded and maintained by May 2011 Capacity developed for relevant staff in data entry and reporting on CB M&E by July 2011 Capacity developed on the use of the guideline / manual on CB planning and monitoring and evaluation of capacity building by October 2011
4.2	National capacity-building plans (covering NMCs and prioritized national agencies) prepared and implementation monitored by NMCSs.	<ul style="list-style-type: none"> Quality rating on NMCs annual work plan (SMART) % of MNCs measure and report on capacity building outcomes % of National Coordinators' competencies increased in CB planning and M&E 	<ul style="list-style-type: none"> NMCs have logical, practical, measurable, realistic, timeframe for annual capacity building plans. NMCs have an effective M&E system to monitor the quality of the implementation of the annual plans. NMCs have the capacity to implement the annual capacity building plans in the most effective and efficient manners. National ICBP Coordinators' capacity strengthened over time in designing, planning, implementing, and M&E of capacity building and capacity development plans.
4.3	Lessons learned on capacity-building processes documented and disseminated.	<ul style="list-style-type: none"> % of MRC programs share CB lesson learned Number of CB lesson learned documented 	<ul style="list-style-type: none"> Template for documentation of CB lesson learnt and good practices are available and used by programs E-newsletter available by May 2011 on web-based system.
4.4	MRC programmes supported with capacity-building methodological advice.	<ul style="list-style-type: none"> % of MRC programs satisfied with ICBP support in CB tools and methodology 	<ul style="list-style-type: none"> MRC Programmes supported in CB tools & methodology

4.5	Capacity-building materials repository (open access) established.	<ul style="list-style-type: none"> • % of MRC Programs share capacity building materials • % of ICBP information updated and shared regularly 	<ul style="list-style-type: none"> • Soft copy and hard copy of CB materials and resources are available to MRC Programme quarterly • ICBP information is regularly updated in various platform and sources
4.6	A regional network of training and education institutions is established to support long-term sustainable capacity building in IWRM.	<ul style="list-style-type: none"> • Number of members in the IWRM Educational Institution network • Number of network meetings held • % of information shared among network members 	<p>TABLE 1. Institutional mapping report</p> <p>TABLE 2. Networks operation</p> <p>TABLE 3. Regular exchanges and meetings of network participants</p> <p>TABLE 4. MRC Programmes have regular support from identified institutions on capacity building and capacity development planning, implementing and M&E.</p> <p>TABLE 5. Member Countries have the resources and information for long term higher education opportunities on IWRM and related disciplines.</p> <p>TABLE 6.</p>
4.7	ICBP programme is well managed with financial and human resources are maximised for the highest possible results and outputs for the programme and for MRC capacity building work.	<ul style="list-style-type: none"> • ICBP programme is well managed with financial and human resources are maximised for the highest possible results and outputs for the programme and for MRC capacity building work. 	<ul style="list-style-type: none"> • Programme Implementation Plan (PIP) 2011-2013 available in March 2011 and ready for implementation • Annual work plans and budgets: annual work plan for 2011, 2012 and 2013 available in the first quarter of each year. • High quality progress report available every August and January for review and approval. • Selected MRC Programmes are provided with technical supports in contracting consultants (TOR development, consultant hiring, negotiation, management, etc.) • Quarterly travel plans are made available by each of the ICBP team members, and quarterly report on financial and managerial aspects of the assigned outcomes are made available • Programme Management meetings organized monthly with good results. • Programme Coordination Meetings are organized quarterly and capacity and competencies of national ICBP Coordinators are strengthened over time. • Steering Committee: high quality and professional SC meeting organized with adequate information for decision-making and strategic advices.

Annex 2: Itinerary

ICBP Mid-Term Review 1st November – 30th December 2011

Mr. Frank Noij, Lead consultant
Mr. Graham Rady, AusAID representative (8 – 18th November 2011)

Activities and meetings	Time schedule	Person to meet
Monday November 2 - 4th		
Desk Review	November 2 nd - 4 th	
Monday November 7th		
Team Leader travels to Vientiane	November 7 th	
Tuesday November 8th		
Meet with the ICBP team	08.00 – 10.00	Hong
	11.00 – 12.00	Meet with OIC
	14.00 – 17.00	All ICBP POs and PC
Wednesday November 9th (MRC holiday)		
AusAID	09.00 – 10.00	Mr. Alex Marks and colleagues
Meet with ICBP POs	11.00 – 14.00	Meet with ICBP Programme Coordinator
Thursday November 10th		
Environment Division	09.00 – 10.30	Dir. Sourasay – Environment Division
Planning Division	10.45 – 12.00	Mr. Phoumin Hans – Programme Coordinator – M-IWRM-P
International Cooperation and Communication - ICCS	14.00 – 15.30	Ms. Klomjit, Chief of ICCS Ms. Hue, consultant Mrs. Kamonrat, Programme Officer
Finance and Administrative Section	15.30 – 17.00	Ms. Mai, Chief of FAS
Friday November 11th		
ICBP PCM PO	09.00 – 11.00	Mr. Santi Baran
GIZ	11.00 – 12.00	Mr. Phillip and Ms. Susanne
Climate Change Adaptation Initiative	13.30 – 15.00	Mr. Kien, CCAI Programme Officer Ms. Tatirose, Programme Officer
Environment Programme	15.30 – 16.30	Dr. Vithet, Programme Coordinator – Environment programme
Weekend.		
Sunday November 13th – Travel to Office of the Secretariat in Phnom Penh		
Monday November 14th		
Discussion	09.00 – 12.00	ICBP Programme Coordinator, OSP office
Information and Knowledge Management Programme - IKMP	13.30 – 15.00	Mr. Tuan, Programme Coordinator Mr. Erland, CTA
Flood Management and Mitigation Programme	15.15 – 16.30	Mr. Lam Hung Son Mr. Nicolaas Bakker
Tuesday November 15th		
Interview at Cambodia National Mekong Committee – CNMC	08.30 – 10.00	CNMC
Line agencies	10.15 – 12.00	Line Agencies
Interview identified service provider / trainers	13.30 – 17.00	Line Agencies Identified Cambodian service providers/trainers
Wednesday November 16th		
NP	09.00 – 11.00	Mr. Phirum Heck, NP Coordinator
Fisheries Programme	10.30 – 11.30	Mr. Xaypladeth (FP)
DirPich Dun	14.00 – 15.00	Mr. Operational Division
Drought Management, Agriculture and Irrigation	15.00 – 16.30	Mr. Ix Hour (DMP), Mr. Prasong (AIP), Mr. Itaru (AIP)
Thursday November 17th - travel to Vietnam		

Friday November 18th		
Interview at Vietnamese National Mekong Committee –VNMC and Line agencies	08.30 – 11.30	VNMC
Interview IWRM coordinator and ICBP coordinator	13.30 – 16.00	VNMC
Sunday November 20th – Weekend		
Monday and Tuesday November 21st – 22 Home based		
Wednesday November 23rd - Travel to Laos		
Thursday November 24th		
Meeting with ICBP coordinator	10.30 – 12.00	ICBP Programme Coordinator – Interview on Outcome 2 progress
Meetings with Individual ICBP team programme officers		Outcome 1 PO Outcome 1 HRD PO -JRP Outcome 4 PO
November 25th		
ISH	09.30 – 10.30	Mr.Voradeth Mr. Simon
BDP	10.30 – 11.30	Mr.Ton Lennaerts Mr.PhetsamoneSouthalack
DirSatitPiromchai	14.00 – 15.00	DirSatit Planning Division
Team interview	15.00 – 17.00	Outcome 3 PO
Meeting with CEO	17.00 – 17.30	Mr. Hans Guttman
November 26 - 27th - work at OSV		
November 28 – travel to BKK, Thailand		
November 29th - TNMC		
Interview at TNMC	08.30 – 10.00	TNMC representatives Prioritised line agencies' representative (meet separately)
Line agencies	10.15 – 12.00	Line Agencies
TNMC service provider	14.00 – 16.00	Trainers
November 30th		
Interview at New Zealand Embassy	08.30 – 09.30	Mr. Phillips Hewitt Mrs.RomchaleeNgamwitroj
Interview at Finland Embassy	10.30 – 11.30	Ms. Helena Ahola Counsellor
November 30th afternoon – travel back to HCM		
Team leader travels back to OSV on December 5th		
December 6th		
Interview at Lao National Mekong Committee	09.00 – 12.00	LNMC
Line Agencies	13.30 – 17.00	Line Agencies Identified Laos service providers/trainers
December 7th and 8th		
Interview EDC (training service provider to LNMC and JRP project)	08.30 – 10.00	EDC office, Ms.Buakhai
Interview English training service provider	10.30 – 11.30	
Interview ICBP coordinator LNMC	9.00 – 10.00	
December 7th – Dec. 11- data analysis and reporting		
December 12th		
Work with ICBP	Morning	ICBP Coordinator
Writing of the report		Team leader
December 14th		
De-briefing Meeting at AusAID	09.30 – 11.30	Mr. Marks and Ms.Vanh
December 15th on ward Preparation Draft MTR Report		
Draft MTR Report	Dec. 23	Team leader

January 2012		
Team Leader discussion	Jan 18	Meet with the ICBP CTA (in Phnom Penh 1 day prior to the SC meeting)
Team Leader presentation	January 19 th (to be confirmed)	5 th ICBP SC meeting in Phnom Penh
Team Leader presentation	January 20 th	MRC Programme Management and Coordination meeting in Phnom Penh (MRC Secretariat office)

Annex 3: Methodology

The Mid-Term Review of the ICBP consisted of six stages in which existing documentation was reviewed, briefing and de-briefing meetings conducted, data gathered from various stakeholders concerned and MTR results presented. An overview of the various stages and methodologies applied is presented in Table 1 below.

Table 1: Key Stages of the Review Process and Methodologies used

Stage	Description	Methodology used
Stage 1	Review of Existing Documentation	Desk Review of available written information and documentation
Stage 2	Briefings	Briefing meeting with AusAID Interim meeting with new CEO
Stage 3	Data gathering from key stakeholders	Semi-structured interviews, focus group discussions and stakeholder meetings with <ul style="list-style-type: none"> ➤ MRCS (OSV and OSP) <ul style="list-style-type: none"> ○ Heads of Divisions ○ MRC Programme Coordinators and CTAs ○ Section Chiefs and Staff ○ ICBP Programme Coordinator and Programme Officers ➤ NMC in Cambodia, Lao PDR, Thailand and Vietnam <ul style="list-style-type: none"> ○ Director NMC ○ Programme Coordinators other MRC programmes ○ ICBP Programme Coordinator ○ Selected Line Agencies ○ Selected Service Providers
Stage 4	De-Briefing	De-briefing meeting with AusAID Validation meeting with the ICBP team
Stage 5	Reporting	Data Analysis and draft and final Report writing
Stage 6	Presentation of Mid-Term Review Results	Presentation in Steering Committee Meeting Presentation in MRC Programme Meeting

The first stage of the MTR focused on the review of existing written information sources. Based on the findings of the first stage the methodology was developed, including the identification of agencies to be visited in the consecutive stages of the evaluation and lines of inquiries for the various stakeholders concerned.

The second stage of the MTR focused on discussions with AusAID representatives as well as with the ICBP coordinator and team, in order to ensure a common understanding of the TOR and methodological issues, and to obtain further details regarding AusAID's and the team's perspectives on the ICBP programme and the MTR process.

The third stage of the review focused on primary data gathering and made use of semi-structured interviews, focus group discussions and stakeholder meetings. The MTR team visited stakeholders in both the OSV and OSP locations and conducted country visits to each of the member countries to meet with National level stakeholders including NMCS, Programme coordinators on national level, selected Line Agencies and selected Service Providers.

The fourth stage of the review concerned further analysis of the primary and secondary data gathered and the writing of the draft and final report.

The fifth stage of the evaluation consisted of a de-briefing with AusAID presenting the preliminary findings, conclusions and recommendations and a meeting with the ICBP team in order to validate

the initial review results. Providing early feed-back to the donor and involvement of the ICBP coordinator and team in the validation of the initial results is expected to enhance the use of the evaluation results.

The sixth stage concerns the presentation of the results of the MTR to the Steering Committee Meeting in order to provide the members of the Committee with a first-hand account of the outcomes of the review process. Moreover, a presentation is made to the MRC Programme meeting in order to inform the wider MRC programme and section staff of the results of the review. This is of particular importance given the cross-cutting nature of the ICBP.

For the assessment of the achievements of the ICBP use was made of the ICBP results framework, focusing in particular on the output and outcome levels of the framework. The assessment of results achieved so far was informed by self-assessments made by ICBP staff members. The ICBP results framework is included in Annex 1. The review was complemented with an assessment of process issues, in order to examine the ways through which the project has tried to achieve its objectives.

Annex 4: Aspects of the JRP Project

The JRP Project has been successful in the last two years and the programme has been further improved while under the management of ICBP.⁴⁸ Quality of JRPs varies, in particular the value that they can add to programmes during the on the job training, with some examples of JRPs whose contract is prolonged by programmes and who in practice start acting as consultant. On the other hand there are the JRPs that have no sufficient background in the on the Job training subjects that they propose and that are unlikely to work in the considered field afterwards. Then there are JRPs that appear to have insufficient quality and cannot really add value to a programme in practice. The recruitment process has been enhanced over the past years, though limitations remain. A more open process of recruitment could enhance the competitiveness of recruitment and further improve on the entrance quality of the JRPs. A quota system on gender could enhance opportunities for women to participate.

The number of matches for on the Job training opportunities for JRPs in MRC programs could be increased by paying more attention to the specific interests of programmes for JRPs in the recruitment process. The present process is based broadly on potential JRP candidates. There is no information made available to interested persons on which MRC Programs are particularly interested in taking on JRPs for on the job training. Inclusion of such details in the recruitment information that is put out by MRC could enhance the likeliness of candidates interested in these specific programmes applying. The provision of details on specific opportunities should though leave sufficient opportunity for open applications. Matching between programme needs and JRP candidates' interest could, moreover, enhance the interest of programmes and increase the OJT places available for JRPs, which presently appears to have reached a ceiling. This could benefit in particular Cambodia and Lao PDR, NMCs who have indicated that they would like to be able to nominate additional JRP candidates.⁴⁹

⁴⁸Piechotta, Juergen: *Evaluation Report Junior Riparian Professional Project Phase II*. May 2011.

⁴⁹Increasing the opportunities for OJT could increase the number of JRPs. Besides Cambodia and Lao PDR, also TNMC indicated interest in more JRPs. On the other hand though, the size of a JRP batch would need to remain relatively small in order to enhance participation of JRPs in the discussions and workshop type events that are part of the training.

Annex 5: Opportunities for ICBP Support

In the discussion with MRC programme staff, with NMCs and with Line Agencies a number of opportunities for ICBP adding value became apparent, which include:

- Support capacity building on individual staff level
 - Support the provision of training on cross cutting competencies, skills that staff need to successfully coordinate activities and cooperate together including facilitation, communication and coordination skills
 - Support the provision of training on Integrated Water Resource Management
 - Development of Riparian Professionals in Integrated Water Resource Management
- Enhancing the quality of capacity development initiatives throughout the MRC, NMCs and related Line Agencies
 - Improving the quality of capacity building initiatives through enhanced assessment of capacity needs on individual staff as well as organizational levels
 - Enhancing training of the trainee in a TOT approach
 - Enhancing monitoring and evaluation of capacity building initiatives and instigating meta-analysis on identified key topics concerned
- Support the change management process within MRCS in the coming years, based on processes of riparianization and decentralization including the development of aspects of the MRCS HR system
- Promote and support knowledge management
 - Support creation of a knowledge management database, ensuring the accessibility and use of knowledge on IWRM inside as well as outside MRC
 - Networking with training institutes and linking with knowledge development,
- Develop a systemic approach to training by enhancing the training courses of training institutes making use of the knowledge generated in MRC. A similar approach can be adopted for networking with institutes building civil servant capacities during their career. In various programmes there appears to be a multitude of interesting materials developed which are often not known to institutes concerned.⁵⁰ By making this linkage the use of MRC materials can be promoted and the quality of training institutes enhanced, which will be beneficial to development of IWRM capacities in the region.
- Develop a database on Riparian and International consultants that can support capacity building initiatives and which creates organizational memory which can be used for outsourcing of specific capacity building initiatives by MRC programmes and NMCs⁵¹.

⁵⁰ Examples brought to the mission's attention of materials developed but not sufficiently exposed to potential users outside MRC include M-IWRM Program, Flood Mitigation Management Program, and Fisheries Program.

⁵¹ One of the lessons learned in the 2010 ICBP Annual Report highlights the lack of identification of regional expertise which can be utilized for the capacity building work of MRC. A mapping exercise is suggested to identify expertise concerned in order for MRC to have access to capable, affordable and accessible technical support in the longer run. *ICBP Progress Report, July – December 2010*. January 2011.

Annex 6: ICBP Staffing

ICBP Staff Members

ICBP Programme Coordinator

- The Programme Coordinator is responsible for the overall coordination and management of the ICBP, including all technical, administrative and financial aspects. She leads the ICBP team, manages the implementation of the ICBP and is responsible for monitoring the outcomes. The present coordinator joined ICBP in August 2010. The Programme Coordinator is supported by a CTA.

ICBP CTA

- The CTA will assist and provide technical guidance and inputs to the ICBP team to design, manage, implement and monitor activities of the PIP 2011-2013 including but not limited to capacity needs assessment, designing, planning, coordination, scheduling, monitoring and technical backstopping. As part of the process of riparianization, the CTA has an important role in the development of the individual staff capacities of the ICBP team members. The present CTA joined ICBP recently, at the end of December 2011.

ICBP Programme Officers

- *IWRM Capacity building Programme Officer* - This programme officer is in charge of IWRM competency strengthening for MRCS and NMCs, MDBA MOU implementation, JRPs coaching and training on IWRM and related issues; organise and facilitate exchanges with other educational and training institutions visiting MRC. This position was vacant during Aug 2010 – July 2011 and the present programme officer has been on board since late July 2011.
- *Organisation Development Programme Officer* - This position is to provide technical support on organisational development and system improvement to HRS, FAS, and TCU (PMS), to implement leadership and management competency strengthening and OEB budget management. The position holder resigned in Sep 2011, and the position is currently under recruitment and expected to be filled by March 2012.
- *Gender Programme Officer* – This programme officer looks after the gender mainstreaming work both at regional and national levels. She currently supports the management of the OEB budget. The present programme officer has been with the programme since the beginning and is well grounded within the programme and organisation.
- *Planning, Monitoring and Communications Programme Officer* – This position is in charge of ICBP monitoring system, capacity building planning, maintaining material repository, networking, capacity building methodologies development, ICBP communication through e-newsletter. The present programme officer has been with the programme since July 2010.
- *Human Resource Development Programme Officer based in OSP*. This programme officer is in charge of the implementation of the JRP project, the orientation package for MRCS, and internship coordination. The present officer has been with the programme since June 2010.

ICBP Staffing Situation June 2009 – November 2011

Function Description	2009							2010												2011										
	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11
Regional ICBP Team																														
ICBP Coordinator																														
Chief Technical Adviser																														
IWRM Program Officer																														
PMC Program Officer																														
OD Program Officer																														
HRD Program Officer																														
Gender Program Officer																														
Admin Assistant																														
Admin Assistant																														
National ICBP Teams																														
CNMC National Coordinator																														
CNMC Assistant																														
LNMC National Coordinator																														
LNMC Assistant																														
TNMC National Coordinator																														
TNMC Assistant																														
VNMC National Coordinator																														
VNMC Assistant																														

	Position Filled
	Position Vacant

Annex 7:

Advantages & Disadvantages of Options for ICBP Location in MRC Structure

Option 1- ICBP under Planning

Advantages:

- Current ICBP focus is closely linked to Planning programmes (BDP, M-IWRM and ISH)
- ICBP can work closely with above mentioned programmes, especially MIWRM to implement the Capacity Development Action Plan (CDAP) for better implementation of the MRC Procedures.

Disadvantages:

- ICBP will struggle to work with programmes not located under planning
- Organizational capacity development e.g. PMS, HR system, FA system, etc. will be difficult to address
- Does not reflect MRCS' commitment to capacity building (MRC core function No 3 under the Mekong Agreement and SP 2001-2015 Specific Goal 4)
- No visibility of ICBP
- Limited CEO / Senior Management focus to support and endorse cross cutting issues such as CDAP implementation, knowledge and skills transfer for riparianisation, leadership and management competency development, gender mainstreaming and quality assurance of capacity building across the organization

Option 2 – ICBP remains under HRS

Advantages:

- No changes required
- ICBP continues to support HRS addressing HR issues at the policy level e.g. HR systems improvement and riparianisation.

Disadvantages:

- ICBP at risk of providing mainly individual (HR) CB support; turning into a training programme
- Difficulties to work across and beyond the organization
- Does not reflect MRCS' commitment to capacity building (MRC core function No 3 under the Mekong Agreement and SP 2001-2015 Specific Goal 4)
- No visibility of ICBP
- Limited CEO / Senior Management focus to support and endorse cross cutting issues such as CDAP implementation, knowledge and skills transfer for riparianisation, leadership and management competency development, gender mainstreaming and quality assurance of capacity building across the organization

Option 3 – ICBP as a unit under the CEO's office

Advantages:

- Locating ICBP at this level sends a strong signal to the organization and donors that MRCS is serious about capacity building as one of its core functions under the Mekong Agreement and SP 2011-2015
- Highlights that capacity building is not a project or programme, but a sector/function that needs to be well coordinated and implemented at an organizational level
- High visibility with the CEO/Senior Management's strategic direction, guidance and endorsement
- Ability to work across organization, addressing links between individual and organizational capacity building (as recommended by the MTR)
- Advise on organizational and institutional capacity building needs
- Advise on MRC key issues (riparianisation, decentralization, PMS, organizational system improvement and capacity development cycle for IWRM)
- Strong linkage to TCU for technical coordination in term of capacity development across MRC Programmes, Sections and Unit.
- Donor (AusAID) supported

Disadvantage:

- Change in organizational structure required

Option 4 – ICBP as a section

Advantages:

- Locating ICBP at this level sends a strong signal to the organization and donors that MRCS is serious about its core capacity building function under the Mekong Agreement and SP 2011-2015)
- Highlights that capacity building is not a temporary project or programme, but an on-going and long term function/ service
- High visibility with the CEO/Senior Management's strategic direction, guidance and endorsement
- Work across organization, addressing links between individual and organizational capacity building (as recommended by the MTR)
- Advise on organizational and institutional capacity building needs
- Advise on MRC key issues (riparianisation, decentralization, organizational system improvement, PMS and capacity development cycle for IWRM)
- Strong linkage to TCU for technical coordination in term of capacity development across MRC Programmes, Sections and Unit.
- Donor (AusAID) supported

Disadvantage:

- Change in organizational structure required

Annex 8: Documents Consulted

MRC Documents

MRC: *Integrated Water Resources Management-based Basin Development Strategy for the Lower Mekong Basin*. 2011.

MRC: *MRC Strategic Plan 2011-2015, for Sustainable Development*.

MRC: *Strategic Plan 2006-2010, Meeting the needs, keeping the balance*. December 2006.

MRC: *Draft Strategy and Action Plan for Riparianisation of the Mekong River Commission Secretariat*. April 2007

MRC: *Human Resources Consultancy*. 2010.

MRC: *Independent Organisational, Financial and Institutional Review of the Mekong River Commission Secretariat and the National Mekong Committees, Final Report*. January 2007.

MRC: *Commitment on Gender Mainstreaming in Water Resources Development in the Lower Mekong Basin*. 1998

MRC: *Regional Capacity Development Action Plan and National Capacity Development Action Plans for Implementing the MRC Procedures in the Framework of the M-IWRM Project*. September 2011.

MRC: *MRC Coaching Guidelines*

MRC: *Streamline Reporting System. Findings and Recommendations*. August 2011

MRC: *1995 Mekong Agreement and Procedural Rules*.

ICBP Documents

MRC: *Integrated Capacity Building Programme, Programme Document*. May 2009

Integrated Capacity building Programme Implementation Plan 2011-2013. June 2011

Integrated Capacity Building Programme Implementation Plan 2009-2010. September 2009.

Piechotta, Juergen: *Evaluation Report, Junior Riparian Professional Project, Phase II*. May 2011.

MRC: *Concept Note Development of Multimedia Orientation Package for New Staff of the Mekong River Commission Secretariat (OSP & OSV) Integrated Capacity Building Programme – ICBP*.

MRC: *Riparianization Progress, Integrated Capacity Building Programme*. February 2011.

Minutes of Steering Committee Meeting

MRC: *Concept Note Development of Multimedia Orientation Package for New Staff of the Mekong River Commission Secretariat (OSP & OSV) Integrated Capacity Building Programme – ICBP*

MRC, ICBP: *Concept Note on the Improvement of the MRC IWRM Competency Framework into a comprehensive module-based IUWRM Competency Framework*.

MRC, ICBP: *Concept Note on the development of an informal and functional network of training and education institutions for IWRM training for the Mekong River Basin*. January 2011.

Consultancy process to support the strengthening of Leadership and Management Competencies in the MRC Secretariat. Leadership and Management Training Needs Assessment Report. October 2011.

ICBP Progress Reports

ICBP Minutes of the Steering Committee meetings Sept 2009, Feb 2010, Sept 2010, Feb 2011.

ICBP Minutes of Coordination Meetings

Donor related Documents

AusAID: *The Greater Mekong Subregion, Australia's Strategy to promote Integration and Cooperation 2001-2011*. September 2007

New Zealand Ministry of Foreign Affairs and Trade Aid Programme: *International Development Policy Statement, Supporting sustainable development*. March 2011

Ministry for Foreign Affairs of Finland: *Finland's Development Cooperation 2010*

GIZ: *Gender Analysis of the GIZ Support Program to the Mekong River Commission*. August 2011.

Other Documents

OECD DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, 2002

Kirkpatrick, Donald L. and James D., *Implementing the Four Levels. A Practical Guide for Effective Evaluation of Training Programs*. 2007

Annex 9: ICBP Activities reported foreach of the Outcome Areas⁵²

Outcome Area 1 – July – December 2009

Immediate Outcome 1

MRC, NMCs and prioritised national agencies have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation.

Output 1.1:

General IWRM competencies are strengthened
This output is 30% achieved

Activity	Progress
1.1.1 Establish and apply a competency framework to all positions of MRCS and NMCSs.	Initial design of competency framework completed – December 2009 & being piloted by programmes to support knowledge transfer process
1.1.2 Identify priority IWRM capacity building needs annually through individual performance assessment reviews (PAR), and needs analysis at programme and NMC levels.	GIS identified as a priority need and training course being planned in collaboration with IKMP.
1.1.3 Design, organise and deliver capacity building processes to respond to priority needs.	N/A July-December 2009
1.1.4 Identify capacity building needs on poverty related and pro-poor development and design appropriate response.	N/A July-December 2009
1.1.5 Assist the MRCS Programmes to prepare and implement knowledge transfer processes.	Two workshops & mentoring support in October & November 2009
1.1.6 Host seminars and other means of exchanges (brown bag lunches) on relevant themes.	Three seminars hosted
1.1.7 Participate in select priority international conferences.	Participation by 4 NMC representatives at Stockholm & Brisbane Water Conferences. A representative from LNMC participated in workshop on a pilot project in Vietnam.

Output 1.2

Specialised IWRM Competencies for MRCS programmes are strengthened
This output is 20% achieved

Activity	Progress
1.2.1 Implement BDP/ICBP Joint capacity building to support the basin development planning process.	IWRM ToT implemented successfully and IWRM training manual draft completed.
1.2.2 Implement the regional capacity building activities set out within the M-IWRM-project.	Contributed to the M-IWRM-P workplan preparation
1.2.3 Identify the capacity building needs, design and implement capacity building activities under the MRC Climate Change and Adaptation Initiative.	N/A July – December 2009
1.2.4 Identify the capacity building needs, design and implement capacity building initiatives to support the policy on Stakeholder Engagement at the	N/A July – December 2009

⁵² The activities are presented as reported in the ICBP Progress Reports and based on the Progress Reports for the periods July – December 2009, January – June 2010, July – December 2010 and January – June 2011. In the first two reports programme management and communication are specified as outcome 5. These were later integrated in outcome area 4 and are in the overview presented as part of outcome 4.

Governance Level.	
1.2.5 Capacity building support to the Initiative on Sustainable Hydropower	N/A July – December 2009
1.2.6 Coordinate the capacity building activities related to conflict management, mediation and trade-offs.	N/A July – December 2009
1.2.7 In collaboration with ICCS, design and implement capacity building initiatives to support the implementation of MRC procedures.	N/A July – December 2009
1.2.8 Respond to emerging themes.	N/A July – December 2009

Output 1.3

Junior Riparian Professional development process

This output is 75% achieved

Activities	Progress
1.3.1 Promote the JRP opportunities at the MRCS to attract highly competent young professionals and graduates from the four countries.	JRP promotion workshops implemented in Kampong Cham, Luang Prabang, Chiang Rai and Hanoi to assist the recruitment of Batch 4.
1.3.2 Implement the JPR Project for 40 young professionals as set out in the project document.	Batch 4 advertised and recruitment process planned. Batch 3 recruited & completed language course at AIT LC. Training courses commenced Dec 2009. Batch commenced on-the-job assignments with the programmes & Batch 1 completed their assignments.
1.3.3 Implement an intensive English language course to prepare young graduates to participate in the JRP project.	Agreement with AIT LC for JRP Batch 3 participants to attend 10 week intensive language course. Good progress was made by each student.
1.3.4 Undertake periodic JRP project review and evaluation to adapt the process and document the lessons learned.	The midterm review of the JRP project was successfully implemented in October 2009. Routine monitoring reports and workshop were also completed.
1.3.5 Establish and maintain an Alumni Network	A "Facebook" based network has been established amongst the JRPs Batch 1 who completed their assignment in Oct 09. Monitoring of progress of alumni is also on-going.

Output 1.4

MRC/MDBA/AusAID Strategic Liaison Partnership.

This output is 0% achieved

Activities	Progress
To be determined	The MDDBA team have been unavailable to discuss plans for the next phase of collaboration

Output 1.5

Internships, professional work exchange opportunities and by provision of scholarship-related information.

This output is 10% achieved

Activities	Progress
1.5.1 Facilitate the hosting of four interns per year at the MRCS.	Six interns students from riparian countries undertook their internship activities at the MRC work programmes
1.5.2 Facilitate the hosting of professional work exchange and research fellows at the MRCS and NMCSs.	Hosted seminars and workshops by visiting specialists
1.5.3 Act as an information exchange centre on IWRM related scholarship opportunities for staff of MRCS, NMCs and line agencies.	Information exchange re- Scholarships at China Agricultural University, Sida Courses & ICE WaRM

Outcome Area 1 – January – June 2010

Output 1.1:

General IWRM competencies are strengthened
This output is 30% achieved

Activity	Progress
1.1.1 Establish and apply a competency framework to all positions of MRCS and NMCSs.	Initial design of competency framework completed – December 2009 & being piloted by programmes to support knowledge transfer process
1.1.2 Identify priority IWRM capacity building needs annually through individual performance assessment reviews (PAR), and needs analysis at programme and NMC levels.	GIS identified as a priority need and training course being planned in collaboration with IKMP.
1.1.3 Design, organise and deliver capacity building processes to respond to priority needs.	N/A Jan – Jun 2010
1.1.4 Identify capacity building needs on poverty related and pro-poor development and design appropriate response.	N/A Jan – Jun 2010
1.1.5 Assist the MRCS Programmes to prepare and implement knowledge transfer processes.	Based on two workshops & mentoring support in October & November 2009, ICBP continued to provide support to develop and implement knowledge transfer processes.
1.1.6 Host seminars and other means of exchanges (brown bag lunches) on relevant themes.	Two seminars hosted
1.1.7 Participate in select priority international conferences.	Support to an exchange visit of VNMC to CNMC; and MRC participation in China training.

Output 1.2

Specialised IWRM Competencies for MRCS programmes are strengthened
This output is 25% achieved

Activity	Progress
1.2.1 Implement BDP/ICBP Joint capacity building to support the basin development planning process.	IWRM trainings implemented at national level and translation of IWRM training manual begun in member countries.
1.2.2 Implement the regional capacity building activities set out within the M-IWRM-project.	Contributed to the preparation of the M-IWRM-P workplan.
1.2.3 Identify the capacity building needs, design and implement capacity building activities under the MRC Climate Change and Adaptation Initiative.	Participated in the evaluation panel for the CCAI training on adaptation.
1.2.4 Identify the capacity building needs, design and implement capacity building initiatives to support the policy on Stakeholder Engagement at the Governance Level.	N/A Jan – Jun 2010
1.2.5 Capacity building support to the Initiative on Sustainable Hydropower	N/A Jan – Jun 2010
1.2.6 Coordinate the capacity building activities related to conflict management, mediation and trade-offs.	N/A Jan – Jun 2010
1.2.7 In collaboration with ICCS, design and implement capacity building initiatives to support the implementation of MRC procedures.	Discussion on this process through the development of the M-IWRM workplan.
1.2.8 Respond to emerging themes.	N/A July – December 2009

Output 1.3

Junior Riparian Professional development process

This output is 80% achieved

Activities	Progress
1.3.1 Promote the JRP opportunities at the MRCS to attract highly competent young professionals and graduates from the four countries.	JRP B5 promotion workshops implemented in Kampong Cham and Hanoi. Ubon Ratchathani and Savanaket.
1.3.2 Implement the JPR Project for 40 young professionals as set out in the project document.	Batch 5 advertised and recruitment process planned. Batch 4 recruited, completed language course at AIT LC and participating in training courses since 01 June 2010. Batch 3 progressing with on-the-job assignments with the programmes. Batch 1 & 2 completed their assignments.
1.3.3 Implement an intensive English language course to prepare young graduates to participate in the JRP project.	Agreement with AIT LC for JRP Batch 3, 4 and 5 participants. Batch 4 completed 10 week intensive language course and preparation is now on-going for JRP Batch 5. Good progress was made by each student in Batches 3 & 4.
1.3.4 Undertake periodic JRP project review and evaluation to adapt the process and document the lessons learned.	The recommendation from the JRP MTR with regard to involving programmes in the recruitment of JRPs has been put in place for Batch 5. The projects available with the programmes have been proposed and CVs will be provided to the coordinators for review following interviews. The project concept note for the next Phase has been well received by the Government of Finland and the project document is now being developed.
1.3.5 Establish and maintain an Alumni Network	A "Facebook" based network has been established amongst the JRPs Batch 1 and 2 who completed their assignment. Monitoring of progress of alumni is also on-going.

Output 1.4

MRC/MDBA/AusAID Strategic Liaison Partnership.

This output is 5% achieved

Activities	Progress
To be determined	Discussions have taken place between AusAID and ICE WaRM in order to facilitate the development of the partnership with MDBA and this has resulted in the preparation of a draft MoU amongst MDBA, ICE WaRM, AusAID and MRC for circulation to the MRC member countries for comment.

Output 1.5

Internships, professional work exchange opportunities and provision of scholarship-related information.

This output is 10% achieved

Activities	Progress
1.5.1 Facilitate the hosting of four interns per year at the MRCS.	Revised Internship guidelines have been drafted for the MRCS and one intern from AIT is being hosted by ICBP for 3 months. .
1.5.2 Facilitate the hosting of professional work exchange and research fellows at the MRCS and NMCSs.	Two seminars were hosted by visiting specialists
1.5.3 Act as an information exchange centre on IWRM-related scholarship opportunities for staff of MRCS, NMCs and line agencies.	Information exchange on ICE WaRM training course opportunities.

Outcome Area 1 : July – December 2010

Strengthening of IWRM competencies at MRCs, NMCs and LAs:

- ICBP supported a series of training courses, workshops, excursions, and trans-boundary exchange visits held on IWRM for the four Member Countries. ICBP supported the development of an IWRM training manual, which was to be finalised and translated into riparian languages.
- Thirteen (13) Junior Riparian Professionals in Batch 3 and 4 have graduated and returned to their respective agencies to work in the water resource management sectors, and 3 JRP from Batch 4 continued to be on their on-the-job training at selected MRC Programmes. Another eight (JRPs Batch 5) were recruited and trained on subjects such as gender mainstreaming, communication, facilitation, IWRM, project cycle management and strategic planning prior to their official on-the-job training (from 4 to 8 months) at MRC from February 2011 onwards.
- Besides, ICBP was also active in the preparation for the capacity assessment in Member Countries on the implementation of the Five MRC Procedures. This was done in collaboration with the Mekong IWRM Programme. The Basin Development Programme was supported with different IWRM training courses, especially with a trans-boundary multiple parties negotiation skills training.

Riparianisation process:

- ICBP organised an analysis of the gaps in competencies of different MRC programmes and a competency framework was drafted. This resulted in the development of knowledge and skills transfer road map for each related MRC programme.
- The Environment Programme and ICBP decided to pilot the process of knowledge and skills transfer from the last quarter of 2010 in which coaching was identified as one of the tools to facilitate the knowledge and skill transfer process, and a coaching guideline was drafted to facilitate this process.

IWRM-based Basin Development Plan (BDP) and Basin Development Strategy (BDS):

- During the year ICBP provided comments on a number of drafts of the Basin Development Strategy and the BDP programme document.
- The ICBP also supported BDP to organise an international training course on multiple parties' trans-boundary negotiation skills for BDP's Joint Committee Working Group's members, selected MRC professionals and representatives from Line Agencies

Outcome Area 1 : January – June 2011⁵³

MRC IWRM competency framework was used more and more in ICBP work for activity level planning (ALP) for both Outcome 1 and Outcome 2. The team also shared this framework with Fisheries Programme for the development of some of the programme concept notes, and to the consultant team on roadmap preparation for core river basin management functions decentralisation. All four NMCs appreciated the framework, and would like to have dissemination sessions in their countries on the further elaboration of the framework, its utility and how to carry out competency assessment for different target groups.

A coaching guideline was developed by the ICBP team in consultation with the Environment Programme (EP). The purpose of the coaching guideline was to help programmes proceed with the knowledge and skills transfer within the MRC programmes so as to further promote the riparianisation process. The guideline was used by the EP for their coaching process between senior and junior staff, and between long-staying staff and new ones.

Support from ICBP to the mandated programmes in the Planning Division (ISH, BDP, M-IWRM-P) and EP (CCAI) were identified and stated in the PIP 2011-2013. ICBP worked intensively with M-IWRM-P in the process to design and facilitate the capacity needs assessment processes for better MRC Procedures implementation in the first half of the year, and agreement was made that once the Capacity Development

⁵³ Text from the progress report has been shortened leaving out some of the details presented in the report.

Action Plan is approved, ICBP will be responsible for the implementation of the Action Plan. JRPs Batch 5 successfully completed all training courses on IWRM principles and were appropriately allocated to related MRC programmes for on-the-job training. Three of them finished their on-the-job trainings and returned to their home organizations. They also got the chance to take part in different international conferences or training courses. First JRP alumni meeting was organised and most of the JRPs phase II joined the meeting to share career progresses and to set up the JRP alumni network. JRP project phase II was evaluated and recommendations were taken to further making the programme more effective and efficient.

The first JRP from China in Batch 6 successfully finished the On-the-job training (OJT) at the Information and Knowledge Management Programme (IKMP). This resulted in more interest of the Chinese government to get to know more about MRC and the Mekong region. The first Myanmar JRP was nominated by the Government of Myanmar to join Batch 6, and was allocated to the Mekong IWRM Project (M-IWRM-P). Promotion and selection of JRP for Batch 6 were also done successfully in four Member Countries and Batch 6 will be ready to start in September 2011. The evaluation of the project was done.

English training courses for JRPs were planned with the AIT Learning Centre to shorten the length from 10 weeks to 8 weeks, focusing on functional English which were based on MRC programmes' context, effective communication, IWRM. AIT will use MRC Programmes Documents and related reports to develop training materials for JRPs and lesson plans that are tailor made to MRC context and requirements.

The different training courses on IWRM related disciplines to JRPs are now designed as one shorten training package and is divided into two weeks that cover (a) leadership, communication and facilitation, and (b) strategic planning and logical framework analysis. A gender training course is also planned to be delivered by an in-house expert (ICBP Gender PO) and is a combination of gender and cultural orientation to prepare the JRPs to integrate better into a new cultural and living environment. IWRM training course is the last training course so that JRPs have a set of related principles to apply into the IWRM context.

An MOU with MDBA was finalised and approved by the Member Countries, and was signed in May 2011. An Activity Level Plan will be developed and submitted to the MRC Senior Managers for approval.

Two visits from Chiang Rai University and Khon Khan University to MRCS were facilitated with the involvement from MRC programmes e.g. Climate Change Adaptation Initiative (CCAI), Initiative for Sustainable Hydropower (ISH), Basin Development Planning (BDP), Mekong IWRM Project (M-IWRM-P), Flood Management and Mitigation Programme (FMMP), and Fisheries Programme (FP). Related emerging issues e.g. hydropower development and the implementation of the MRC Procedures for Notification, Prior Consultation and Agreement (PNPCA) were also the main focus for learning and sharing.

ICBP also identified entry points for the programmes to further provide technical support in capacity building of other MRC programmes e.g. Flood Management and Mitigation (FMMP) and Information and Knowledge Management Programme (IKMP). Initial agreements were made with ICBP to further support FMMP's capacity building work in the coming phase and with IKMP on the development of an M&E system for the quality assurance of data and information provided by Member Countries. The team also provided intensive support to a range of national activities, from the formulation of Activity Level Plans (ALP), preparing for resource person and consultant TORs, monitoring of a training process and reporting.

Outcome Area 2 : June – December 2009**Immediate Outcome 2**

MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives.

Output 2.1:

MRC Human Resource Management policies and procedures to support capacity building revised and applied.

This output is 10% achieved

Activity	Progress
2.1.1 Provide input to the review and revision of the MRCS HR policies and procedures during the 2009 consultancy, and provide capacity building support for the revised HR policies and procedures.	Procurement of consultancy services on-going.
2.1.2 Provide input to the improvement of the MRCS recruitment and selection policies and processes, and provide capacity building support to apply the revised recruitment and selection policies and processes.	Procurement of consultancy services on-going.
2.1.3 Provide input to the improvement of the MRCS compensation management and staff appraisal systems, and provide capacity building support to apply the revised compensation management and staff appraisal systems.	Procurement of consultancy services on-going.
2.1.4 Support HR policy and procedure related initiatives at the NMCSs.	Dependent on completion of Activities 2.1.1 – 2.1.3

Output 2.2

Leadership and Management competencies strengthened within MRC and NMCs.

This output is 5% achieved

Activities	Progress
2.2.1 Design and implement Phase I of the leadership and management capacity building process at MRCS and NMCSs.	Terms of reference agreed
2.2.2 Design and implement Phase II of the leadership and management	NA July – December 2009

Output 2.3

Selected MRC organisational systems strengthened.

This output is 20% achieved

Activities	Progress
2.3.1 Capacity building support to the 2011-2015 MRC Strategic Plan Formulation.	Collaborative activity with ICCS to support SP development in 4 countries
2.3.2 Develop and implement the results based	Terms of reference for next phase of development

monitoring system.	revised. Plan is in place for early January workshop in collaboration with TCU.
2.3.3 Upgrade and apply the programme cycle management manual.	To be implemented after PMS design completed.
2.3.4 Capacity building support to the upgrading of the financial, procurement, and administration systems.	Procurement of consultancy services for procurement manual revision on-going.

Output 2.4

General organisational development competencies of staff of MRC and NMCSs, strengthened.
This output is 90% achieved

Activities	Progress
2.4.1 Identify capacity building needs through annual performance assessment and programme and agency level needs assessment.	136 PARs were reviewed and 12 staff received financial support based on the recommendation of their respective supervisors
2.4.2 Design and implement capacity building activities to respond to priority needs.	NMCs submitted and implemented the CB plan under OEB

Output 2.5

Core training programme for new staff is established and implementation coordinated
This output is 0% achieved

Activities	Progress
2.5.1 Upgrade the orientation process and provide to all new staff of MRCS.	Planned for 2010
2.5.2 Design and upgrade a package of modules on IWRM and general organisational competencies.	Planned for 2010
2.5.3 Make core training modules available and monitor the completion of required modules by all staff joining MRC.	Planned for 2010

Outcome Area 2 : January – June 2010

Output 2.1:

MRC Human Resource Management policies and procedures to support capacity building revised and applied.
This output is 30% achieved

Activity	Progress
2.1.1 Provide input to the review and revision of the MRCS HR policies and procedures during the 2009 consultancy, and provide capacity building support for the revised HR policies and procedures.	Selected consultancy firm was contracted and started the consultancy services. The ICBP team compiled relevant input and shared with the consultants.
2.1.2 Provide input to the improvement of the MRCS recruitment and selection policies and processes, and provide capacity building support to apply the revised recruitment and selection policies and processes.	Selected consultancy firm was contracted and started the consultancy services. The ICBP team compiled relevant input and shared with the consultants.
2.1.3 Provide input to the improvement of the MRCS compensation management and staff appraisal systems, and provide capacity building support to apply the revised compensation management and staff appraisal systems.	Selected consultancy firm was contracted and started the consultancy services. The ICBP team compiled relevant input and shared with the consultants.
2.1.4 Support HR policy and procedure related initiatives at the NMCs.	Dependent on completion of Activities 2.1.1 – 2.1.3

Output 2.2

Leadership and Management competencies strengthened within MRC and NMCs.
This output is 10% achieved

Activities	Progress
2.2.1 Design and implement Phase I of the leadership and management capacity building process at MRCS and NMCs.	Negotiation process with the qualified consultancy firm
2.2.2 Design and implement Phase II of the leadership and management	Dependent on completion of Activities 2.2.1

Output 2.3

Selected MRC organisational systems strengthened.
This output is 20% achieved

Activities	Progress
2.3.1 Capacity building support to the 2011-2015 MRC Strategic Plan Formulation.	Collaborative activity with ICCS, the ICBP provided support for SP development in four countries, especially to host the 1 st national consultative workshop in NMCs and through input on the results chain through the PMS development process.
2.3.2 Develop and implement the results based	Terms of reference and a roadmap for the next phase of

monitoring system.	the development have been finalized and work continued with the PMS consultant(s) on the establishment of the system within MRC. Plans are in place for national level workshops on LFA and PMS in July/August in collaboration with TCU.
2.3.3 Upgrade and apply the programme cycle management manual.	The revision of the programme manual must take place in conjunction with the development of the PMS guidance manual.
2.3.4 Capacity building support to the upgrading of the financial, procurement, and administration systems.	Through the third round of tenders, a qualified consultancy firm has been contracted for the revision of the procurement manual and associated training for MRC team. Work will commence in August 2010.

Output 2.4

General organisational development competencies of staff of MRC and NMCSs, strengthened.

This output is 50% achieved

Activities	Progress
2.4.1 Identify capacity building needs through annual performance assessment and programme and agency level needs assessment.	16 PARs were reviewed and 6 staff received financial support based on the recommendation of their respective supervisors
2.4.2 Design and implement capacity building activities to respond to priority needs.	With the OEB focus on building English and communication competencies, NMCs implemented the CB plan.

Output 2.5

Core training programme for new staff is established and implementation coordinated

This output is 0% achieved

Activities	Progress
2.5.1 Upgrade the orientation process and provide to all new staff of MRCS.	Planned for 2011
2.5.2 Design and upgrade a package of modules on IWRM and general organisational competencies.	Planned for 2011
2.5.3 Make core training modules available and monitor the completion of required modules by all staff joining MRC.	Planned for 2011

Outcome Area 2 : July – December 2010**Improvement of MRC organisation's support systems:**

- Systems such as human resource management, financial, administrative system, procurement system and performance management systems of the MRC have been provided with technical support from ICBP to review, revise and revitalised in 2010.
- Leadership, management, communication, facilitation, presentation, interviewing skills and English skills were provided to senior managers and programme staff at both MRCS and in the Member Countries. This contributed to further strengthening of collective decision making processes as well as the effective management and communication of MRC leaders, managers and professional staff.
- The ICBP was active providing advice and technical capacity building inputs to a number of capacity building activities within MRCS and in the Member Countries.

Formulation and implementation of the MRC Strategic Plan 2011–2015:

- ICBP worked closely with ICCS in:

- Improving goal 4 (concerning MRC capacity building functions) and goal 5 (the organisation's routine and recurrent functions) of the Strategic Plan.
- Contributing to the facilitation of the Consultative Workshop on the Strategic Plan that was organised in September 2010.
- Through various discussions and inputs the ICBP had clarified its roles in the implementation of the Strategic Plan over the next five years

Decentralisation of river management core functions4:

- ICBP involved in different discussions on the process to prepare for the decentralisation of the seven river basin management core functions.
- A road map for decentralisation is to be developed and ICBP expects to support the institutional analysis in the Member Countries to measure their current capacity to take over the core functions, as well as to help the development of the human resource necessary for this process.

Establishment of a performance management system (PMS):

- In collaboration with the Technical Coordination Unit, ICBP facilitated the establishment of a performance management system analysis and followed up with a series of training courses for Member Countries on results chain and performance management.
- As well, ICBP will continue to provide financial and technical support for the establishment of the system from 2011 onward.

Outcome Area 2 : January – June 2011

For the development of the Strategic Plan 2011-2015, ICBP worked on the text of section 4.7 on human resources and capacity development plan, as well as helped refining the results-based PMS terminologies and indicators in the draft SP leading to the final framework of the SP results chain.

ICBP contributed to the formulation of the performance indicators of the Strategic Plan Goal 4 (capacity development) and Goal 5 (organisational development) using the most updated framework and concepts of UNDP for capacity development.

The TOR for Leadership and Management competencies strengthening was updated according to the requirement of the SP 2011-2015, and also reflected the demands from the MRC Senior Managers on trans-boundary conflict management and resolution, change management, organisational development, human resource management, etc. The successful company selected for this assignment has a strong background and experience in modern public service management. A process approach to this important project is elaborated and prepared by the team.

ICBP provided financial support to the Human Resource Section (HRS) to carry out consultation sessions in the four Member Countries on the results of the Human Resource (HR) consultancy as well as the proposed new mechanism for Human Resources Management (HRM) at MRC. Training was prepared for competency based staffing processes, however, due to time constraints it was postponed to the second half of the year.

The Programme also provided financial support, and was intensively involved in the consultancy on the MRC Performance Management System (PMS).

The MRC learning guidelines were made into a Capacity Development Guidelines and are now being approved by the MRC Senior Managers. The guidelines aim to promote more efficient use of OEB budget for MRC staff development, as well as to plan well for different staff development activities. The guidelines will be finalised and approved in the third quarter of 2011.

The team also provided intensive support to a range of national organisational development activities in the ICBP framework.

Outcome Area 3: June – December 2009**Immediate Outcome 3**

Gender is mainstreamed within the MRCS and national agencies integrate gender aspects more effectively into their IWRM work.

Output 3.1:

MRC gender strategy and policy mainstreamed into MRCS systems, procedures and guidelines.
This output is 5% achieved

Activities	Progress
3.1.1 Develop an action plan for gender mainstreaming in the MRCS.	Planned for early 2010
3.1.2 Review all MRC systems manuals to incorporate gender aspects	Planned for 2010
3.1.3 Revise the HR data system to provide sex-disaggregated data.	Planned for 2010
3.1.4 Promote Gender Responsive development in-house at the MRCS.	Planned for 2010
3.1.5 Review and upgrade of the gender toolkit (English Version).	Terms of reference for consultant being prepared

Output 3.2

Gender responsive approaches are mainstreamed into the MRC sectoral programmes.
This output is 25% achieved

Activities	Progress
3.2.1 Pilot the application of the gender framework in two MRC Programmes.	Gender Framework application to Watershed Management and Fisheries development in process
3.2.2 Apply gender responsive development to the BDP process.	Planned for 2010
3.2.3 Provide technical assistance to all other remaining MRCS Programmes to apply the gender framework	Gender Framework applications to CCAI, Flood Management in process
3.2.4 Apply gender principles to all ICBP capacity building activities	Assist to organise, design and facilitate gender training for JRP

Output 3.3

Gender responsive capacity of the NMCSs and the prioritised national line agencies is developed through gender awareness raising, training and pilot project implementation.
This output is 25% achieved

Activities	Progress
3.3.1 Review, upgrade or translate gender toolkits in national languages.	Planned for 2010
3.3.2 Deliver gender related capacity development activities for the national gender working teams	Four national ToTs completed Gender Training for VNMC government counterparts in Southern Vietnam
3.3.3 Exchange and share best practices and lessons learned in GM.	Planned for 2011
3.3.4 Implement pilot projects in the four Riparian Countries.	Concept note for FMMP/TNMC pilot project developed

Outcome Area 3 : January – June 2010**Output 3.1:**

MRC gender strategy and policy mainstreamed into MRCS systems, procedures and guidelines.

This output is 10% achieved

Activities	Progress
3.1.1 Develop an action plan for gender mainstreaming in the MRCS.	Planned for late 2010
3.1.2 Review all MRC systems manuals to incorporate gender aspects	To guide gender intern to start the process of a gender analysis of the MRC.
3.1.3 Revise the HR data system to provide sex-disaggregated data.	Consulted with the HR consultants on the gender aspects of the HR Manual.
3.1.4 Promote Gender Responsive development in-house at the MRCS.	In collaboration with other MRC Programmes, ICBP organised a Seminar on Gender Issues/Responsiveness in

	Climate Change and Adaptation Initiative on 08 March 2010 to mark the 99th International Women's Day.
3.1.5 Review and upgrade of the gender toolkit (English Version).	An international Consultant was recruited to review and upgrade the MRC Gender Tool Kits. In consultation with the MRC programmes, a revised manual has been developed. The final draft will be completed at the end of July 2010.

Output 3.2

Gender responsive approaches are mainstreamed into the MRC sectoral programmes.

This output is 30% achieved

Activities	Progress
3.2.1 Pilot the application of the gender framework in two MRC Programmes.	<ul style="list-style-type: none"> Gender Framework application to Watershed Management - in progress. Training manual on gender mainstreaming in watershed management was developed for Laos. Fisheries development in process. Training Manual for TOT on Gender in Fisheries Development was developed for NGF
3.2.2 Apply gender responsive development to the BDP process.	<ul style="list-style-type: none"> Planned for 2010 – no progress - will try to communicate with BDP for the issue of gender mainstreaming in IWRM
3.2.3 Provide technical assistance to all other remaining MRCS Programmes to apply the gender framework	<ul style="list-style-type: none"> Checklist/guideline for application of gender mainstreaming in CCAI activities at the field level is being prepared - relevant to upgrading gender tool kits
3.2.4 Apply gender principles to all ICBP capacity building activities	<ul style="list-style-type: none"> In collaboration with external consultant, prepared training module for training course on gender mainstreaming in water resources management for JRP Batch 4.

Output 3.3

Gender responsive capacity of the NMCSs and the prioritised national line agencies is developed through gender awareness raising, training and pilot project implementation.

This output is 25% achieved

Activities	Progress
3.3.1 Review, upgrade or translate gender toolkits in national languages.	Planned for second half of 2010 (after update English version).
3.3.2 Deliver gender related capacity development activities for the national gender working teams	Gender TOT coaching and preparation for evaluation workshop - scheduled for Cambodia, Laos and Vietnam.
3.3.3 Exchange and share best practices and lessons learned in GM.	Planned for 2011
3.3.4 Implement pilot projects in the four Riparian Countries.	<ul style="list-style-type: none"> Two studies were completed in Vietnam (Reports are in progress). A pilot project on gender application in watershed management was planned for LNMC. A pilot project on application of gender aspect in community water resources management was prepared for Cambodia.

Outcome Area 3 : July – December 2010**The promotion of gender responsiveness in IWRM:**

- Gender mainstreaming has been a special focus, with specific support to the Watershed management programme, VNMC's gender focal points establishment, as well as the gender training and workshops organised in the Member Countries.
- Technical advice on gender issues was provided to the Climate Change Adaptation Initiative for training on climate change.
- Inputs on gender mainstreaming were also provided in other areas such as the Strategic Plan 2011–2015, the Basin Development Strategy, and the EP Programme Document.
- ICBP has updated the MRC Gender toolkits and will make them into a resource for gender mainstreaming with concrete guidelines, case studies and checklist for easy application

Outcome Area 3 : January – June 2011

Draft MRC Gender Toolkits were used for different rounds of consultation in the Member Countries on their relevance, usability and user-friendliness, at the same time, the MRC Gender Strategy and Policy was finalised and made available in four riparian languages. Draft sex-disaggregated data for the Human Resource data was accomplished. The MRC Gender Strategy and Policy was also finalised and printed.

ICBP collaborated with the Watershed Management Project/GIZ and Lao National Mekong Committee to support the development of the training manual on Gender Mainstreaming (GM) in Watershed Management (WSM) and framework for Gender Analysis (AG) to be available in Lao language. In this connection, a training course and practical exercise on GM in WSM and GA in the field were delivered to the gender focal points and officers whose works were relevant to Nam Ngum-Nam Xong River Basin Management, a MRC-collaborated project.

Collaboration with CCAI has been more intensified with ICBP providing technical and human resources to support CCAI in further identifying areas for gender mainstreaming (GM). In this connection, a training manual on GM in climate change adaptation (CCA) was developed. A gender workshop was organised for relevant officers of the CCAI demonstration project in Savannakhet province.

ICBP worked together with the Fisheries Programme (FP) to make the training Manual for "ToT on GM in Fisheries Management" ready in Lao, Vietnamese and Thai Languages. A Khmer version will be available in the 3rd quarter of 2011.

With technical support from the ICBP and CNMC the Cambodian national gender team conducted a pilot project on "Application of Gender in IWRM aspects in Community Water User Management" in Kandal province, Cambodia.

A documentation template of the gender mainstreaming work in IWRM was developed and one Member Country was using the template as a guideline for their gender mainstreaming work. In this regard, it is necessary for ICBP to carry out the documentation of the good practices in MRC IWRM related gender mainstreaming. This is an important part of further learning and sharing of good practices among the Member Countries and at MRCS on effective gender mainstreaming into IWRM.

The team also provided intensive technical gender support to a range of national activities, from the formulation of Activity Level Plans (ALP), preparing for resource person and consultant TORs, to monitoring of training processes and reporting.

Outcome Area 4 : June – December 2009**Immediate Outcome 4**

An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of the MRC

Output 4.1:

MRC and NMCs capacity building planning, information management, coordination and monitoring and evaluation system is established.

This output is 0% achieved

Activity	Progress
4.1.1 Design, pilot and apply a coordinated planning process and the associated tools to compile annual MRC CB plan	To begin early 2010
4.1.2 Monitor implementation of annual MRC CB plan and prepare annual CB report.	To begin early 2010
4.1.3 Review and upgrade existing training database to support the ICBP.	ToR under development for consultant to upgrade database
4.1.4 Provide training for database users and for monitoring data entry.	NA July – December 2009
4.1.5 Develop tools and provide training for monitoring and evaluation of all capacity building activities.	To Begin early 2010

Output 4.2

National capacity building plans (covering the NMCs and prioritised national agencies) prepared and implementation monitored by the NMCSs.

This output is 80% achieved

Activities	Progress
4.2.1 CNMC annual CB workplan prepared and implemented.	Workplan preparation completed and approved for implementation
4.2.2. LNMC annual CB workplan prepared and implemented.	Workplan preparation completed and approved for implementation
4.2.3 TNMC annual CB workplan prepared and implemented.	Workplan preparation completed and approved for implementation
4.2.4 VNMC annual CB workplan prepared and implemented.	Workplan preparation completed and approved for implementation. Implementation commenced.
4.2.5 Provide relevant CB for ICBP national coordinators at NMCs.	On-going activities to support the national implementation

Output 4.3 Lessons learned on capacity building processes documented and disseminated.

This output is 0% achieved

Activities	Progress
4.3.1 Document lessons learned from a range of CB processes.	NA July – December 2009
4.3.2 Prepare twice yearly CB e-newsletters to disseminate lessons learned.	NA July – December 2009

Output 4.4

MRC programmes supported with advice on the methodology of capacity building.
This output is 10% achieved

Activities	Progress
4.4.1 Provide on demand capacity building services to programmes and NMCs.	On-going activities as part of daily working activities

Output 4.5

Capacity building materials repository (open access) established.
This output is 0% achieved

Activities	Progress
4.5.1 Based on a review of existing information sharing mechanisms and tools, the ICBP will establish mechanisms/platforms for sharing CB materials as both hard and soft copies.	NA July – December 2009
4.5.2 Develop and update content for uploading to the various information sharing platforms (websites, portals, e-journals, etc.	NA July – December 2009

Output 4.6

A regional network of training and education institutions is established to support long-term sustainable capacity building in IWRM
This output is 0% achieved

Activities	Progress
4.6.1 Undertake a scoping exercise to plan a region network	NA July – December 2009
4.6.2 Implement the network action plan for 2010 - 2012	NA July – December 2009

Immediate Outcome 5

The programme is effectively & efficiently managed and appropriately communicated to relevant stakeholders to support the achievement of Outcomes 1-4 of ICBP

Output 5.1:

Effective and efficient programme management and communication
This output is 50% achieved

Activities	Progress
5.1.1. Programme Implementation Plan (PIP) preparation.	2009-2010 PIP completed and approved September 2009.
5.1.2 Annual work plans and budgets.	18 month regional & national workplans agreed
5.1.3 Progress reports.	Final report for ICBP 2008-2009 submitted Nov 2009. Qtrly reports submitted to TCU.
5.1.4 Recruitment process (TORs, announcements, selection, contracts).	ICBP Coordinator recruited July 2009, Temporary admin assistant recruited Dec 2009 & support to other recruitment processes including PA to CEO
5.1.5 Consultant contracts.	IDSS/COWI/AIT LC/Imperial College, London/ Bret Tan/ gender consultants, etc.
5.1.6 Management of travel arrangements.	Completed
5.1.7 ICBP guidelines and procedures	To be developed in 2010
5.1.8 Management of ICBP at NMCs	Coordinators & assistant coordinators in place at NMCs and procedures agreed for NMC level implementation
5.1.9 Programme Management meetings	Two programme management meetings
5.1.10 Programme Coordination Meetings	First programme coordination meeting held December 2009
5.1.11 Steering Committee Meetings.	First SC meeting held September 2009, ToR and membership approved

Outcome Area 4 : January – June 2010

Output 4.1:

MRC and NMCs capacity building planning, information management, coordination and monitoring and evaluation system is established.
This output is 0% achieved

Activity	Progress
4.1.1 Design, pilot and apply a coordinated planning process and the associated tools to compile annual MRC CB plan	Commencing July 2010
4.1.2 Monitor implementation of annual MRC CB plan and prepare annual CB report.	Commencing July 2010
4.1.3 Review and upgrade existing training database to support the ICBP.	New staff member on board developing a roadmap for the ICBP IT requirements.
4.1.4 Provide training for database users and for monitoring data entry.	NA Jan-Jun 2010.
4.1.5 Develop tools and provide training for monitoring and evaluation of all capacity building activities.	New staff member on board and will develop plan for M&E during July – December 2010.

Output 4.2

National capacity building plans (covering the NMCs and prioritised national agencies) prepared and implementation monitored by the NMCSS.
This output is 20% achieved

Activities	Progress
4.2.1 CNMC annual CB workplan prepared and implemented.	Progress with implementation of CNMC workplan.
4.2.2. LNMC annual CB workplan prepared and implemented.	Progress with implementation of LNMC workplan.
4.2.3 TNMC annual CB workplan prepared and implemented.	Progress with implementation of TNMC workplan.
4.2.4 VNMC annual CB workplan prepared and implemented.	Progress with implementation of VNMC workplan.
4.2.5 Provide relevant CB for ICBP national coordinators at NMCs.	On-going activities to support the national implementation

Output 4.3 Lessons learned on capacity building processes documented and disseminated.

This output is 0% achieved

Activities	Progress
4.3.1 Document lessons learned from a range of CB processes.	N/A Jan – Jun 2010
4.3.2 Prepare twice yearly CB e-newsletters to disseminate lessons learned.	N/A Jan – Jun 2010

Output 4.4
MRC programmes supported with advice on the methodology of capacity building.
This output is 10% achieved

Activities	Progress
4.4.1 Provide on demand capacity building services to programmes and NMCs.	On-going activities as part of daily working activities – support provided to the HYCOS project on capacity building concept note development.

Output 4.5
Capacity building materials repository (open access) established.
This output is 0% achieved

Activities	Progress
4.5.1 Based on a review of existing information sharing mechanisms and tools, the ICBP will establish mechanisms/platforms for sharing CB materials as both hard and soft copies.	N/A Jan – Jun 2010
4.5.2 Develop and update content for uploading to the various information sharing platforms (websites, portals, e-journals, etc).	N/A Jan – Jun 2010

Output 4.6
A regional network of training and education institutions is established to support long-term sustainable capacity building in IWRM
This output is 0% achieved

Activities	Progress
4.6.1 Undertake a scoping exercise to plan a region network	N/A Jan – Jun 2010
4.6.2 Implement the network action plan for 2010 - 2012	N/A Jan – Jun 2010

Output 5.1:
Effective and efficient programme management and communication
This output is 50% achieved

Activities	Progress
5.1.1. Programme Implementation Plan (PIP) preparation.	Completed in 2009
5.1.2 Annual work plans and budgets.	18 month regional & national workplans agreed
5.1.3 Progress reports.	Progress report for ICBP Jul-Dec 2009 drafted and submitted. Qtrly reports submitted to TCU.
5.1.4 Recruitment process (TORs, announcements, selection, contracts).	ICBP Coordinator resigned in April 2010 and the new coordinator was recruited during June to start in mid-August 2010. Three programme officers recruited for the remaining ICBP positions and to replace the HRD programme officer who completed 6 years. Temporary admin assistant continued during maternity leave of the programme administration & support to other recruitment processes.
5.1.5 Consultant contracts.	EDC/PrimaLink/AIT/Pro Language/Vientiane College/ ACL English School/ Hanoi Printers Trading Tourism Joint Stock Co./Tham Thi Hong Phuong/ Nguyen Viet Dung/ Vu Thi Lien/ Maureen Brown/Bret Tan/ Fiona Flintan/Manoj K. Jain/ Vongdeuan Osay, Pham Thi Dung, Nguyen Thi Kim Khanh, Nguyen Than Kien.
5.1.6 Management of travel arrangements.	Completed
5.1.7 ICBP guidelines and procedures	To be developed in 2010
5.1.8 Management of ICBP at NMCs	Coordinators & assistant coordinators in place at NMCs and procedures agreed for NMC level implementation
5.1.9 Programme Management meetings	Two programme management meetings held
5.1.10 Programme Coordination Meetings	Second & Third programme coordination meeting held in January and April 2010
5.1.11 Steering Committee Meetings.	Second SC meeting held in February 2010 and the 3 rd SC meeting is planned in August 2010.

Outcome Area 4 : July – December 2010

Development of the capacity building M&E system that combines with the training database and e-newsletter:

- The ICBP M&E system was designed in the last quarter of 2010 with TOR developed, consultant identified, pilot-cockpit model was discussed and action plan drafted.
- Capacity building to the National ICBP Coordinators on planning and M&E was organised in December 2010.
- Different reporting and planning templates were produced and tested within ICBP team both at regional and national levels.

Preparation for the Programme Implementation Plan 2011-2013 (PIP):

- PIP roadmap developed and approved by the Steering Committee in the 3rd meeting.
- Regional and national teams have been involved in the development of the second phase (PIP 2011–2013).
- National consultation workshops on the draft PIP were organised in Member Countries in the final quarter of 2010.
- The second phase of the PIP was drafted focusing on the alignment of ICBP to the Strategic Plan 2011–2013 especially to Goal 4 and 5.
- Steering Committee Meetings were organised bi-quarterly.
- Regional Coordination meetings organised quarterly.
- ICBP Regional team meetings organised monthly.
- PIP 2011-2013 was drafted with the participation of the member countries, and being consulted with key programmes such as ISH, CCAI, ICCS, BDP, M-IWRM-P and the Technical Coordination Unit (TCU).

Programme Management

- Different key TORs have been developed and revised for the different capacity building processes within ICBP and for other MRC programmes i.e. BDP, M-IWRM-P.
- Quarterly reports submitted on time. ICBP team member's TOR reviewed and revised for the next phase, etc. ICBP budget studied and re-allocation proposed for different overspending or under-spending budget lines. Different major communication was prepared and/or made in relation to the (a) ICE WaRM collaboration in capacity building on IWRM and (b) China's participation in the JRP Project Phase III.

Outcome Area 4 : January – June 2011

The ICBP PIP 2011-2013 was finalised and approved by the ICBP Steering Committee after an intensive consultation process both in the four Member Countries, and at MRCS. Regional consultation was organised in January 2011 with the participation of MRC programmes' representative and senior managers of the National Mekong Committees.

An ICBP M&E system was developed and presented to the ICBP Steering Committee members, Senior Staff of MRC and to the MRC Programmes. It was highly appreciated and at least the Information and Knowledge Management Programme (IKMP) and Finance and Administration Section (FAS) will apply the system once it is finalised and proved working.

The budgeting of the programme was reformulated to reflect the demands for the new phase of each Outcome. More resources were allocated to Outcome 1 – IWRM Competencies strengthening and Outcome 2 – Organisational Development. Budget for capacity building for the MRC programmes e.g. Basin Development Plan (BDP), Mekong IWRM Project (M-IWRM-P), Climate Change Adaptation Initiative (CCAI) and Initiative for Sustainable Hydropower (ISH) will be covered by the programmes themselves.

The 4th Steering Committee was successfully organised, as well as two Programme Coordination meetings. ICBP is now using Programme Coordination meetings to strengthen the skills of the National Coordinators

in planning and M&E. Information is openly shared between national and regional teams, and feedback is taken by both groups for further improvement of the implementation and management of the ICBP.

ICBP team member's TORs were also revised to make them more concrete and to reflect the expected performance and end results of each position. The revised TORs had been a part of the approved ICBP PIP 2011-2015, and were used for new contracts for staff e.g. Gender Programme Officer; Planning, Communication and Monitoring Programme Officer; HRD Programme Officer, Organisation Development Programme Officer. The updated TOR for the IWRM Capacity Building Programme Officer was used for the selection of this position.

Although in the absence of the programme's Chief Technical Advisor, a number of TORs were developed or revised by the team e.g. TOR for consultant for the JRP project evaluation, ICBP mid-term review, ICBP consultant – March to July 2011, AIT English Bridging phase for JRP Batch 6-10, etc. IWRM disciplines training to JRP Batch 6-10 with Enterprises and Development Consultancy Ltd. (EDC), etc.

ICBP team had revised the TOR of the ICBP CTA and had put a specific part for the responsibility of the CTA to coach and transfer knowledge and skills to the ICBP team members.