



**Mekong River Commission**

**Integrated Capacity Building Programme  
Programme Document**

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## Table of Contents

Abbreviations and acronyms .....	1
Executive Summary .....	3
1. Background.....	4
1.1 MRC mandate and capacity building.....	4
1.2 AusAID’s Greater Mekong Sub-Region Strategy 2007-2011 .....	4
1.3 Development of the Integrated Capacity Building Programme .....	4
1.4 Current ICBP funding arrangements.....	5
1.5 Foundation of the Integrated Capacity Building Programme .....	5
1.6 Lessons.....	6
2. Context and Rationale.....	11
2.1 Regional needs and relevance .....	11
2.2 Stakeholders and Target Beneficiaries.....	13
2.3 Competency requirements.....	13
2.4 Available human capacity .....	16
2.5 Relations to the MRC Strategic Plan .....	16
3. Objectives and Programme Design.....	18
3.1 Key features of the programme.....	18
3.2 Programme goal, objective and outcomes .....	18
3.3 Outputs and activities.....	20
3.4 Addressing sustainability .....	23
3.5 Assumptions and risks .....	24
4. Implementation and Management .....	26
4.1 Organisation.....	26
4.2 ICBP staffing .....	26
4.3 Institutional arrangement .....	27
4.4 Implementation arrangements.....	28
4.5 Implementation schedule .....	29
4.6 Budget.....	29
4.7 Monitoring and reporting.....	31
Annex 1: Definitions .....	33
Annex 2: Design and Monitoring Framework.....	35
Annex 3: ICBP Per Annum Output Level Budget .....	42
Annex 4: ICBP Risk and Risk Management Strategies at Output Level .....	43
Annex 5: SWOC Analysis of Capacity Building Context in the MRC.....	49
Annex 6: List of MRC-related Line Agencies in the Four Riparian Countries.....	51
Annex 7: Summary of Knowledge, Skills & Attitudes and Institutional CB Activities for MRC.....	52

## **Abbreviations and acronyms**

ADB	Asian Development Bank
AIFP	MRC Agriculture, Irrigation and Forestry Programme
ASEAN	Association of South East Asian Nations
AusAID	Australian Agency for International Development
BDP	MRC Basin Development Plan
CCAI	MRC Climate Change and Adaptation Initiative
CEO	Chief Executive Officer
CIDA	Canadian International Development Agency
CNMC	Cambodia National Mekong Committee
CNMCS	Cambodia National Mekong Committee Secretariat
EIA	Environmental Impact Assessment
ESIA	Environmental & Social Impact Assessment
FMMP	MRC Flood Mitigation and Management Programme
FAS	MRC Finance and Administration Section
GMP	MRC Gender Mainstreaming Project
GMS	Greater Mekong Sub-Region
HRD	Human Resources Development
HRS	MRC Human Resources Section
ICBP	MRC Integrated Capacity Building Programme
ICCS	MRC International Cooperation and Communication Section
ICE WaRM	International Centre of Excellence for Water Resources Management
IKMP	MRC Information and Knowledge Management Programme
IT	Information Technology
ITSP	MRC Integrated Training Strategy and Programme
IWRM	Integrated Water Resources Management
JRP	Junior Riparian Professional
JRPP	MRC Junior Riparian Professional Project
LNMC	Lao National Mekong Committee
LNMCs	Lao National Mekong Committee Secretariat
M&E	Monitoring and Evaluation
M-IWRM P	MRC Mekong Integrated Water Resources Management Project
MDBA/MDBC	Murray Darling Basin Authority/Commission
MRC	Mekong River Commission
MRCS	Mekong River Commission Secretariat
MTR	Mid-term Review

NARBO	Network of River Basin Organisations
NMC	National Mekong Committee
NMCS	National Mekong Committee Secretariat
NPC	National Programme Coordinator
OEB	MRC Operating Expenses Budget
OJT	On-the-job training
OR	Independent Organisational, Financial and Institutional Review
PAR	Performance Appraisal Review
PCBP	Priority Capacity Building Plan
PIP	Programme Implementation Plan
PNPCA	Procedures for Prior Notification, Prior Consultation and Agreement
RBM	Results-based Monitoring
RPNA	Rapid Priority Needs Assessment
SEA	Strategic Environmental Assessment
SIA	Social Impact Assessment
SIDA	Swedish International Development Cooperation Agency
SLP	Strategic Liaison Partnership
TNMC	Thailand National Mekong Committee
TNMCS	Thailand National Mekong Committee Secretariat
ToR	Terms of Reference
ToT	Training of trainers
UNESCO-IHE	UNESCO Institute for Water Education
VNMC	Viet Nam National Mekong Committee
VNMCS	Viet Nam National Mekong Committee Secretariat
WUP	MRC Water Utilisation Programme

## Executive Summary

The 1995 Mekong Agreement recognises the need for cooperation in all fields of basin development, resource management and environmental protection to achieve an economically prosperous, socially just and economically sound Mekong River Basin. The organisation is now as relevant and important as ever, as water resource development in the region has accelerated and threats to sustainability have never been greater. Adding to the importance and urgency for capacity building are the current organisational level changes; the transition of the MRC to an organisation fully owned and operated by the four MRC member countries; the introduction of a new stakeholder engagement and communication strategy to allow for greater participation and transparency; and continued efforts to apply the principles of integrated water resources management (IWRM) as the MRC focuses on the long-term core functions of the organisation.

Capacity building gaps have been recognised. The Independent Organisational, Financial and Institutional Review (OR) for instance considered *“the training needs to be quite obvious and urgent, and should be addressed if MRC and NMCs [National Mekong Committees] are to meet their declared objectives”*. In the absence of a capacity building focal unit in the MRC, efforts have not been well-coordinated. The OR described the training activities within the MRC as *“scattered, formulated independently by different programmes, and not sufficiently coordinated”*. Apart from the efforts of the Gender Mainstreaming Project, the Junior Riparian Professional Project and individual level activities under the operational expenses budget, capacity building has primarily focused on the respective subject areas of the MRC programmes.

The Integrated Capacity Building Programme (ICBP) will address capacity needs through individual, institutional and network-level approaches and will involve a regional process with capacity building plans tailor-made to the needs of the MRCS, the NMCs and the prioritised line agencies in the four MRC member countries. The ICBP will build on initiatives within the MRC and existing networks and partnerships with institutions to leverage ongoing capacity building expertise and efforts where they are already in place or under development. Key features of the programme are:

- Institutional development activities, underpinning the riparianisation process which is envisaged to be completed by 2012;
- Supporting the formulation of the next Strategic Plan 2011-2015 (in 2009-10), the implementation of the procedures on water utilisation, supporting scenario work, finalisation and national uptake of the Basin Development Plan (by 2010); and
- Creating the organisational culture and supportive environment to establish a true learning organisation as the core functions are further defined and established.

The programme will be implemented from 2009-2013 by the ICBP team under the MRCS Human Resources Section and governed by a Steering Committee. To implement ICBP, a range of implementation arrangements will be developed through which ICBP will work closely with the MRC programmes, the NMCs and with the capacity building associates network.

The total budget for the envisaged ICBP is US\$7.8 million and when the commitments from the Government of Finland and OEB and the indicative pledges are considered, the total ICBP funding requirement is approximately US\$5.3 million.

## 1. Background

### 1.1 MRC mandate and capacity building

The Mekong River Commission (MRC) is an international river basin organisation built on a foundation of nearly 50 years of knowledge and experience in the region. On the 5th of April 1995, Cambodia, the Lao PDR, Thailand and Viet Nam, signed the “Agreement on the Cooperation for the Sustainable Development of the Mekong River Basin”.

As stated in the 1995 Agreement, the riparian countries recognise the need to cooperate in all fields of basin development, resource management and environmental protection. By working in cooperation, the countries, through informed dialogue, can develop agreed rules and strategies for sustainable water management. The Integrated Capacity Building Programme (ICBP) set up in 2008 as a cross-cutting programme in the MRC structure, aims to build the capacities required for the MRC to achieve its mandate as set out in this agreement.

‘Capacity Building’ is widely regarded as the key strategy in ensuring sustainable water sector development. The Delft Declaration during a 1991 UNDP symposium established three elements of water sector capacity building:

- (i) Human resources development and the strengthening of managerial systems;
- (ii) Institutional development, including community participation; and
- (iii) The creation of an enabling environment with appropriate policy and legal frameworks.

The Lower Mekong Basin (LMB) countries have set the first two elements – human resource development and institutional strengthening as the priorities for the ICBP, while other MRC programmes also work to support enhancing policy and legal frameworks within target sectors.

### 1.2 AusAID’s Greater Mekong Sub-Region Strategy 2007-2011

The AusAID Strategy to promote integration and cooperation in the Greater Mekong Sub-Region sees improved water resources management in the Mekong Basin as a key driver<sup>1</sup>. It focuses on two pillars:

- Support sub regional connectivity through infrastructure investments;
- Enabling integration through facilitating sub regional cooperation.

One objective of the second pillar is designed to “improve water resources management in the Mekong basin”. It underlines AusAID’s commitment to the strengthening of the institutional framework for managing Mekong basin resources for the benefit of all sub regional countries, the broadening of the scientific knowledge of the Mekong basin resources, the planning for comprehensive basin development, and the measurement of the development progress as a result of improved water resources management.

ICBP will directly contribute to the achievement of this objective by strengthening the MRC and the NMCs to improve IWRM in the Mekong basin and the programme’s focus on results based monitoring will contribute to the monitoring of development progress resulting from improved water management.

### 1.3 Development of the Integrated Capacity Building Programme

In 2003, an Integrated Training Strategy and Programme (ITSP) for the MRC was developed with support of the UNESCO-IHE Institute for Water Education. The ITSP sought to bring the various training needs of the MRC under one umbrella and to address these needs through one comprehensive

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<sup>1</sup> The Greater Mekong Sub-region, Australia’s Strategy to promote Integration and Cooperation, 2007-2011, AusAID, September 2007.

and coherent training programme. A comprehensive assessment of MRC 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 strategy which emerged from the assessment and consultations was to develop a critical mass of human resources at the Mekong River Commission Secretariat (MRCS), National Mekong Committees (NMCs) and the MRC-related line agencies by means of a comprehensive permanent long-term training programme that integrated existing MRC training activities, with a focus on cross-cutting knowledge areas and related skills and attitudes. While strongly supported by the LMB countries, the programme did not attract sufficient funding to proceed.

In 2007, AusAID expressed interest in building on the work and process of the ITSP by supporting the development and implementation of a capacity building programme well integrated within the MRC structure and targeting the MRCS, NMCs and the MRC-related line agencies. That support has led to the preparation of the ICBP document by the MRCS following 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 establishing an ICBP team within MRCS.
- Step 2 commenced in July 2008 and focuses on the implementation of four priority training activities and the formulation of this ICBP programme document. The formulation involved consultation with the MRC programmes, a series of national consultations with the NMCs and prioritised national agencies in the four countries followed by a regional meeting in March 2009. The consultations have fully aligned the countries behind the proposed ICBP strategy, scope and implementation arrangements.

#### *1.4 Current ICBP funding arrangements*

Three development partners are currently providing support to ICBP:

- NZAID has supported the two phases of the Gender Mainstreaming Project – the current agreement has been extended until August 2009 to support the development of the further phase of the gender mainstreaming process within the context of ICBP.
- The Government of Finland support to the Junior Riparian Professional Project (JRPP) was agreed in late 2007 and will continue through until the end of 2011.
- AusAID has provided support for the formulation of the ICBP and for the implementation of the four priority capacity building activities under a one year agreement from July 2008-June 2009.

#### *1.5 Foundation of the Integrated Capacity Building Programme*

The proposed ICBP builds on the ITSP and other concluded 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) MRC Internships, (iv) the Gender Mainstreaming Project (GMP), (v) training activities under the Operating Expenses Budget (OEB) and (vi) the various capacity building activities across MRC Programmes.

##### *Independent Organisational, Financial and Institutional Review*

The 2006, Independent Organisational, Financial and Institutional Review (OR) of the MRCS and the NMCs established general principles of good governance such as participation and transparency, integration, equity, empowerment and accountability and measured the MRC's effectiveness against these. The ICBP will build on this approach in supporting the ongoing reform of the MRC.

##### *Junior Riparian Professional Project and MRC Internships*

The Junior Riparian Professional Project (JRPP) provides professional working experience for 40 young professionals from the four countries of the Lower Mekong Basin (LMB) from 2008-2011. It includes eight weeks of intensive training courses related to the MRC; Integrated Water Resources Management (IWRM); skills related to organisational development; and four to ten months of on-the-job training at the MRC Secretariat.

In addition to the JRPP, MRC internships offer opportunities for students/graduates in various fields related to the work programme of the MRC and to water resources management, to work together with programmes and projects for periods up to 12 weeks. Guidelines ensure that most internships are provided to students from the four countries of the LMB.

#### *Gender mainstreaming*

Two phases of the Gender Mainstreaming Project have been implemented since 1996. Phase 1 resulted in the endorsement of the MRC Gender Strategy and the MRC Gender Policy in 1998 and 2000 respectively. Phase 2 runs to 2009. It aims to integrate gender perspectives into all MRC Programmes and to ensure that men and women of the riparian countries benefit equally from IWRM-related development. This Gender Strategy and Policy are to be achieved through: (i) creation of gender awareness in the organisational culture; (ii) capacity building in gender and development; (iii) institutionalisation of gender responsive organisational structures and procedures; and (iv) tools for implementing gender responsive development practices.

#### *Training activities under the MRC Operating Expenses Budget*

The MRC's Operating Expenses Budget (OEB) allocation for training focuses on a range of capacity building needs identified through annual performance appraisal review (PAR) of MRCS staff and training plans submitted by NMCs.

#### *Capacity building across the MRC programmes*

Substantial capacity building, mainly on the respective subject areas, but also on integrative, multi-disciplinary issues is incorporated into the annual work programmes of all MRC programmes.

### *1.6 Lessons*

#### *Independent Organisational, Financial and Institutional Review*

In 2006, the Independent Organisational, Financial and Institutional Review (OR) of the MRCS and the National Mekong Committees (NMCs) considered "*the training needs to be quite obvious and urgent, and should be addressed if MRC and NMCs are to meet their declared objectives*". With regard to qualifications and competencies, the review considered the "*main problem to be identifying and recruiting sufficiently qualified riparian staff*" across both the NMCs and the MRCS. The Review confirmed that shortfalls are mostly related to the cross-cutting or "integrative" competencies necessary for effectively carrying out the core programmes of water resources management, river basin planning and environmental management.

In the absence of a focal unit in the MRC, capacity building efforts have not been well coordinated. The Review described the training activities within the MRC as "*scattered, formulated independently by different programmes, and not sufficiently coordinated*". As a result, there were overlaps and gaps were not identified. For example, the Eco-Asia conflict management capacity building, the initiatives within Component 3 of the Flood Management and Mitigation Programme (FMMP) and the "trade-offs" capacity development within BDP require coordination to ensure that there is consistency in the approach to conflict and mediation and in the terminology used in the national languages.



Further, there is no process for systematically sharing capacity building materials across the programmes and to the countries. Materials are not uploaded onto the MRC website, within the intranet or even within the library at the MRCS. These deficiencies reflect wider organisational challenges in coordination and integration which must be addressed through consistent approaches to capacity building and by establishing and nurturing a culture of leadership at all management levels. The summary findings of a “strengths, weaknesses, opportunities and challenges” analysis is presented in Annex 5.

The current MRC Strategic Plan recognises the importance of forging effective links with regional initiatives including ASEAN, ADB’s Greater Mekong Subregion Programme (GMS) and others, and of improving strategic partnerships with civil society and research institutes. The recent Mid-term Review (MTR) of the Strategic Plan implementation considered the development of partnerships and networks to be vital for the sustainability of capacity building and recommended that a more strategic approach should be pursued in building those relationships.

#### *Junior Riparian Professional Project*

The objective of the current Junior Riparian Professional Project (JRPP) is to provide professional advancement opportunities in IWRM in the context of Mekong Cooperation for forty young professionals from the Mekong Region. The process has been developed based on lessons learned from the earlier Riparian on Stipend Project which provided an opportunity for young professionals to gain work experience with MRCS programmes. The current training programme has a maximum duration of 12 months for each JRP as lessons from the earlier phase considered it necessary to have a more focused programme taking no longer than one year. A structured training process has been incorporated into the process to build basic capacities in IWRM and programme cycle management.

The major lesson learned from the process with the first two batches is the need to establish criteria for the English language ability of each JRP in order that they can actively participate in the training programme and effectively perform with the programmes for the on-the-job training. Efforts have been made to set minimum standards during the recruitment of the second batch and to make intensive language classes available to JRPs prior to their joining the MRCS. For the third batch of JRPs, English language screening of all short-listed candidates will be outsourced and a three month English language training programme is being organised to address the challenges.

#### *Associate Modeller Training Project of the Information and Knowledge Management Programme*

The objective of the Associate Modeller Training Project is to build the capacity of young modellers through on-the-job training within the MRC Modelling team of Information and Knowledge Management. A small number of young modellers are given the opportunity to work with the Modelling team of IKMP. Each of the participants join the modelling team at various times and therefore no structured training programme is offered despite a request for such training from participants. The process is considered successful as the modellers normally return to work with prioritised national agencies with which the IKMP has close cooperation. Currently no system is in place to follow-up or track graduates from this programme but a simple system will be established as part of the larger ICBP process of tracking alumni.

#### *Strategic Liaison Partnership with the Murray Darling Basin Commission*

Since 1996 AusAID has supported a Strategic Liaison Partnership (SLP) between the MRC and the Murray-Darling Basin Commission (MDBC) with the first phase running from 1996 to 1999 and the second phase from 2001 to 2004. Phase 1 of the SLP was focused on high-level exchange and communication. Phase 2 was focused on building the MRC’s organisational capacities, both managerial and technical, with a particular emphasis on the concepts of IWRM.

The Independent Completion Report of SLP Phase II in March 2006 highlighted that the SLP had made a valuable contribution to the development of the MRC into an international river basin organisation through (i) providing training to a range of staff of the MRC, the NMCs and line ministries, in relation to Basin planning and IWRM and of particular relevance to the BDP Phase 1 (BDP1); (ii) providing technical assistance, through flexible arrangements, to key critical gap areas; and (iii) raising awareness of the importance of public participation in decision-making processes.

The lessons learned from SLP II included the following: (i) the need for sufficient funding to cover the significant management tasks which are associated with any capacity building programme; (ii) the need to clearly define accountability and reporting requirements in order to minimise transaction costs; (iii) the absolute importance of retaining flexibility in implementation is crucial; and (iv) the ongoing need for capacity building in relation to IWRM.

### *Gender Mainstreaming Project Phase II*

The Mid-term Review of the Gender Mainstreaming Project from January 2008 found that progress had been made in the area of gender awareness training, with the establishment of gender mainstreaming structures (the Gender Teams and Gender In-House Network) and a communication mechanism, as well as in the training and structural set-up of national gender teams. Key priorities for the remainder of the project and future phases focused on building the technical gender mainstreaming skills of the gender team, broadening gender awareness within the line agencies at all levels of management and staff, and increasing sharing of information, best practices and lessons learned cross-sector within their national gender team and between gender focal points in the same sector in other riparian countries.

Key lessons learned related to:

- Continuing to develop the technical capacity of the gender technical adviser, the gender coordinators and the gender focal points to institutionalise gender mainstreaming;
- Ensuring that the programming manual, strategy, project planning, and technical review criteria include gender requirements;
- Translating, on an ongoing basis, all gender mainstreaming documents, reports, lessons learned into the four riparian languages;
- Ensuring continuity of funding for the Gender Mainstreaming Project because of the extended time frame required to institutionalise gender responsive development at all levels of the national agencies; and
- The need to incorporate the Gender Mainstreaming Project into a larger programme which would provide management support, technical assistance and guidance to the process in order to achieve maximum impact and continuity.

### *Watershed Management Project*

The objective of the Watershed Management Project, currently in the third phase, is to promote integrated watershed management in the Lower Mekong Basin (LMB). Capacity building has been a major focus in the first two phases of the process. At the end of Phase I, the major lesson learned was the need to be more realistic in the project objective since the political, institutional and communication processes in the 4 MRC countries, were so diverse.

The evaluation at the end of Phase II of the project found that the watershed resource kit and the training activities had been effective in the development of the various training packages for the various target groups. The partners stressed the importance of the capacity building process to support implementation and follow-up on watershed management in the various institutional and political environments.

The key lessons were the need for tailor-made materials and approaches for specific strategically important groups. This includes the need for materials development in the four national languages and the need to provide training of trainers in each of the four countries who could then deliver training in national languages.

#### *Eco-Asia Collaboration in Conflict Management, Mediation and Negotiation Skills*

Capacity development in conflict management, mediation and negotiation skills is the focus of Eco-Asia's collaboration with the MRC. Efforts have focused on short-term training courses of 2-3 days for up to 50 participants from the four countries and the development of glossaries of terminology in the four languages.

The key lesson learned from the process to date is the need to link capacity development on conflict management to real situations in order that participants can apply their learning. Current efforts are focused on providing a more field-based training which is addressing real transboundary conflict issues between Cambodian and Lao communities.

#### *MRC Operational Expenses Budget Training Activities*

The operational expenses budget for training has been used to address training needs identified through annual performance assessment of staff at the MRCS and to respond to priority needs of the NMCs. During 2008, approximately US\$50,000 funded a range of training activities for 126 participants. The funds are critical to support the immediate individual capacity building needs of the various MRCS Sections which have not had alternative training budgets.

The main lesson learned with regard activities under this budget during 2008 is the need for more detailed and specific assessments of training needs during the performance assessment processes. With needs being identified in very general terms, such as English or IT skills, the ICBP programme officers are required to do detailed follow-up to respond to the actual needs. A revised performance assessment process is under development and once completed, training will be provided for all staff who have a supervisory role to improve the overall performance management process including needs identification.

An additional lesson has been the requirement for close monitoring of the performance of service providers to ensure that quality is maintained.

#### *Priority Capacity Building Activities in 2008 - 2009*

Four priority activities were planned for implementation by ICBP from July 2008 to June 2009:

- A leadership and management skills seminar was delivered for the executive level in September 2008 with follow-up training on emotional intelligence provided in April 2009. Feedback has been very positive, however, the key lesson is the critical importance of integrating such seminars/trainings into longer-term change-management processes. A comprehensive process to address leadership and management capacity building is now under preparation for implementation under ICBP.
- The training of trainers (ToT) course required BDP planning guidelines prior to the preparation of the training materials and for that reason the contract to develop the ToT process will begin on 1 June 2009. A comprehensive ToT is planned which will include development of national language materials, guidelines for national level trainings and backstopping support to the first training sessions in national languages. It is expected that this process will provide valuable lessons for other ToTs and national language training sessions for the MRC.

- The training process on Programme/Project Cycle Planning has been put on hold to await the development of the results-based monitoring and evaluation system and the incorporation of the relevant amendments to the MRC Programming Manual. The Cross-Cultural and Communications activity is planned for June 2009.
- The major lesson learned by ICBP and the Finance and Administration Section in tendering for service providers to facilitate these priority activities is the necessity to tender sufficiently large packages of activities with sufficient lead-in time in order to attract quality tenders from the region and internationally.

A key lesson learned is that flexibility needs to be built into all aspects of capacity building planning, as challenges delayed three of the four planned sessions.

## **2. Context and Rationale**

### *2.1 Regional needs and relevance*

#### *MRC Riparianisation and focus on core functions*

The urgency for capacity building relating to integrated water resources management (IWRM) in the Mekong River Basin stems from (i) the rapidly changing development context in the LMB, (ii) the transition of the MRC to an organisation fully owned and operated by the four MRC member countries, and (iii) the focus on longer-term core MRC functions.

Despite the current financial crisis, water resources development in the region has accelerated and threats to the sustainability of the Mekong River Basin have never been more challenging. Hydropower will continue to be an important renewable source of electricity for the region, with hydropower projects now driven mainly by market forces and the private sector.

The challenges of sustaining fisheries, identifying opportunities for agriculture, maintaining the freedom of navigation, flood management and preserving important ecosystems are growing along with increasing rural populations dependent on natural resources for livelihoods, high economic growth and rapidly changing natural environments. Superimposed on these pressures are the future effects of more extreme floods, prolonged drought and sea level rise associated with climate change. The importance and relevance of MRC, the intergovernmental body responsible for the sustainable management of the Mekong's water and related resources has never been greater.

At the same time the MRC as an organisation is taking important but ambitious steps in its riparianisation and in sharpening its focus on longer-term core river basin management functions.

Riparianisation includes the steady replacement of international posts by riparian professional staff by 2012. The "Strategy and Action Plan for the Riparianisation of the MRC" of 2007 set out the objective of increased efforts in training and capacity building of riparian staff to achieve full riparianisation in this short time frame. It emphasises building organisational development and management competencies in riparian staff, along with appropriate levels of technical support. Riparianisation also involves a shift from donor-driven perspectives and funding to the taking on of full responsibility for the MRC by the member countries.

The OR concluded that the fundamental functions and capacities of the MRCS need to be maintained and strengthened in the long term to enable effective implementation of the 1995 Agreement. In response, the 29<sup>th</sup> Meeting of the MRC Joint Committee endorsed four categories of core function in March 2009. These are (i) administrative and management functions, (ii) river basin management functions, (iii) tools development and capacity building functions, and (iv) consulting and advisory functions. Continuous development and improvement in achieving these core functions means change, development and improvement through intensive, systematic and well-coordinated capacity building. Continuing to learn from the experience of other river basin organisations, and in particular through the well-established partnership with the Murray Darling Basin Authority, will be an important aspect of this capacity development process.

With riparian nationals taking on the leadership and ownership of the MRC, and with core functions being confirmed, it is critical that the MRC embraces a learning culture so that it learns and continuously adjusts to the changing situations and requirements. A learning organisation promotes a culture of learning and ensures that individual learning enriches and enhances the organisation as a whole. A clear human resource development policy for the MRC is required which will place greater emphasis on learning throughout the MRC framework of institutions. This, in turn, will provide the motivation for staff and managers to allocate sufficient time to capacity building and continuous learning.

### *MRC management and organisational systems*

Combined with these major changes taking place within the MRC and the basin context, are the existing challenges with leadership, management and organisational systems of the MRCS and NMCs which were highlighted by the Independent Review. The OR noted that the present management of MRCS had instituted some changes which should improve management efficiency, including routine Senior Management and Programme Management Meetings and the establishment of the Technical Coordination Unit (TCU).

Further improvements recommended included greater involvement of the Directors in the decision-making process and a reduction in the high visibility of international staff in central management functions. The overall perception of the management style was that it was “*not as participatory as it should be, and that there was some concern among the staff about the consequences for themselves if they are too open with ideas and constructive criticism*”. A more open and participatory style of management was recommended in order to effectively mobilise the potential of all staff members.

The technical competence of the present and past Directors was recognised, but their lack of international experience in management roles prior to working at the MRCS was noted and their lack of involvement in the overall management of the MRCS was explained by their background in a different management culture. Attention was drawn to the differences between international practices and customs of management and the practices and customs of national governments in the region, particularly with regard to decision-making and feeling personally accountable for decisions; in willingness to dialogue both up and down the hierarchy of the organisational structure; and in the use of format, style and logic of documents and reports.

With the riparianisation of the positions of the Chiefs of FAS and ICCS currently underway, and the CEO by 2011, it is critical that capacity development in leadership and management is a priority for all managers in the organisation.

The OR emphasised the need for management of all human resource services, the human resource development policies and procedures, personnel administration, employee services, and staff development programmes, under one unit management with a manager in place. The Chief of HRS joined MRC in September 2008 and all aspects under HR are now managed within the Human Resources Section where ICBP has been placed.

Specific recommendations with regard to aspects of the human resources policies, such as recruitment and performance assessment are expected to be addressed by the review of HR policies and procedures currently underway. One of the concerns which will be closely considered under the review is the relatively short-term appointments of riparian staff (annual contracts which can extend for a three-year term which can be extended for a second term up to a maximum of 6 years) which works against the objective of building a sustainable and competent MRCS workforce.

The OR considered systematic programme monitoring and evaluation (M&E) to be essential to organisational performance and emphasised the importance of a results-based monitoring and evaluation system. Considerable progress has recently been made in setting up the results-based monitoring and evaluation system and completion of the overall design for the organisation is expected by August 2009. ICBP together with the TCU and IKMP will continue the process of applying the system to all MRCS programmes and at the national level.

Other general observations of the OR relating to areas not adequately addressed included expertise in, and support for, participatory approaches; and dispute management strategies and competencies.

## 2.2 Stakeholders and Target Beneficiaries

The MRC consists of three permanent bodies: (i) the Council which is charged with policy and decision making, (ii) the Joint Committee which is responsible for implementing council policies and decisions; and (iii) the MRC Secretariat which supports the Council and the Joint Committee with technical and administrative services. Each member country has a National Mekong Committee (NMC) which plays an essential role in disseminating the vision and carrying out the mission of the MRC at the national level.

The target institutions for strengthening support are:

- (i) The MRC Council and Joint Committee.
- (ii) The National Mekong Committees in Cambodia, Lao PDR, Thailand and Viet Nam.
- (iii) The prioritised national agencies most closely linked to the functions of the MRC, in particular, agencies concerned with planning, water management, fisheries, hydropower development, agriculture, environment and natural disaster management.
- (iv) National training and research institutes with important supportive functions for MRC-related line agencies and which have relevant training capacities.

Table 1 illustrates the staff within the MRC structure which would be targeted by the ICPB. The MRCS has approximately 120 riparian staff, 20 international staff (including 3 seconded international experts) and 12 junior members from the JRP and associate modeller process. On average, the four riparian NMC Secretariats consist of between 20 to 30 staff members. With approximately 10 national agencies attached to each of the four NMCs, five national agencies will be prioritised in each country.

Each of these primary line agencies will have approximately 10 staff members involved in the capacity building activities of ICBP. Up to 5 participants will be involved from other prioritised agencies, depending on the capacity building themes. The total target number from all the MRC agencies is 550 staff. Identifying specific offices, positions and potential staff members in each of the countries is an ongoing process which will be completed as part of the development of the ICBP Implementation Plan. The detailed list of line agencies to be involved in ICBP appears as Annex 6.

*Table 1: Staff levels at the MRCS, NMCs and line agencies*

Staff level	MRCS	NMCs	Line agencies
Executives	CEO, directors, chiefs	Department director, Division director	Department director, Division director
Managers	Coordinators, managers, leaders, heads of working groups	Managers, coordinators / focal points	Focal points
Professional staff	Specialists, officers	Officers	Officers
Support staff	OCEO, HRS, FAS	HRS, administration	HRS, administration

## 2.3 Competency requirements

Since 2002, two major studies<sup>2</sup> have been conducted on the core competencies for riparian personnel involved in Mekong River Basin management and planning. Training needs analyses have been conducted during three specific processes: the ITSP in 2002-03; the rapid needs assessment of January 2008; and the validation of needs during the formulation of the ICBP programme document in 2008/09. In addition, comments on competencies and capacity building needs have been given within

<sup>2</sup> (i) UNESCO-IHE Institute for Water Education, 2003. MRC Integrated Training Strategy and Programme.  
(ii) Katima, S. 2005 Core Competencies for Riparian Officials Involved in Developing Mekong River: A Delphi Study Towards a Modular Training Programme.

the OR and in the MTR. The outcome of the various analyses provides a strong basis for understanding the required and available competencies.

To accomplish its mission and to address the functional elements of the organisation, the MRC will require both professional knowledge and organisational development skills. The required professional knowledge identified by the ITSP focused on three areas:

- Applied knowledge in the fields of integrated water resources management, river basin planning, environmental management, transboundary river conflicts, stakeholder analysis, public participation, economic analysis and water law and institutions, i.e. core IWRM competencies.
- Broad cross-cutting more technical aspects of management support tools such as systems analysis, modelling, monitoring, decision-support tools, and data and information management which are currently addressed through the IKMP.
- Specific thematic fields such as hydrology, flood management, environmental processes, irrigation, fisheries, forestry, navigation and hydropower.

The ITSP also focused on skills and attitudes which included organisational development, networking ability, communication, political and cultural sensitivity, and attitudes of leadership, team spirit and responsibility. The 2005 analysis focused on core organisational competencies, described as the knowledge, skills and abilities that are considered important for all staff of an organisation, regardless of their function or position. ICBP refers to these competencies as “general organisational competencies”. Dependent on the target group, different competency profiles are needed as summarised below in Table 2.

*Table 2: Competencies for the various target groups*

Staff level	Competency profile
Executives	Strong organisational development, leadership, coordination and communication skills, broad understanding of IWRM, with strong political and cultural sensitivities.
Managers	Broad overview of the respective knowledge fields with strong skills in leading the institution in specific thematic issues. Strong combination of skills including: programme planning and management, organisational development, people management, facilitation and communication skills.
Professional staff	In depth competencies on technical or IWRM subjects to be able to play their role as service providers for NMCSs and line agencies. Knowledge and skills in operational planning and management. Efficient in communication and facilitation of networking and information exchange.
Support staff	Administrative and ICT skills, English proficiency to support their respective roles. Knowledge in cross-cultural communication would contribute to their efficiency.

The MRCS’ primary role as an international river basin organisation relates to the joint and basin-wide issues which include the development scenarios, identification of important joint and basin-wide projects and programmes, and analysis of implications of proposed development plans in the basin. Therefore, knowledge on technical issues including IWRM planning is among the key competencies required to maintain the MRC as a leading and influential expert organisation in the region. The MRCS’s staff also need strengthened skills in organisation development, communication, facilitation, political, cultural and gender aspects. In the process of riparianisation, the MRCS will play a role in teaching and coaching, as well as technology and knowledge transfer so related skills will also be required.

In order to ensure consistency and uptake between national resource management and development and regional planning and cooperation, linkages between NMCSs’ staff and national line agencies need to be strengthened. The resulting competency profile combines broad knowledge on technical themes in relation to IWRM with a number of supporting skills in networking, organisation development, communication, and political and cultural sensitivity.



In contrast to the NMCSs, national agencies will need more detailed technical knowledge related to the focus of the agency. In addition, they need insights into the relevance of an inter-sectoral and inter-regional approach in river basin management as advocated by the MRC. Line agencies will also need communication competencies to obtain knowledge and information and to be able to actively contribute to MRC and NMCS collaborative activities.

*Table 3: Summary of initial capacity building needs by staff level*

Staff level	Competency profile / capacity building needs
<b>Executives</b>	<p><b>Knowledge:</b></p> <ul style="list-style-type: none"> <li>• Knowledge of integrated water resources management</li> </ul> <p><b>Skills and attitudes:</b></p> <ul style="list-style-type: none"> <li>• Strategy formulation and programme planning</li> <li>• Communications</li> <li>• Leadership</li> <li>• Gender Awareness and Sensitivity, gender in PCM</li> <li>• Political and cultural sensitivity</li> <li>• Institutional development</li> <li>• General management</li> <li>• HR management</li> </ul>
<b>Managers</b>	<p><b>Knowledge:</b></p> <ul style="list-style-type: none"> <li>• Knowledge of integrated water resources management</li> <li>• Integrated river basin planning and management</li> <li>• Awareness of gender principles in development sector/programme</li> </ul> <p><b>Skills and attitudes:</b></p> <ul style="list-style-type: none"> <li>• Strategy formulation and project, programme planning with gender integration</li> <li>• Communications, presentations, coaching</li> <li>• Facilitations, includes negotiation and conflict resolution</li> <li>• Gender awareness and sensitivity</li> <li>• Political and cultural sensitivity</li> </ul>
<b>Professional staff</b>	<p><b>Knowledge:</b></p> <ul style="list-style-type: none"> <li>• Knowledge of integrated water resources management</li> <li>• Environment management and tools, such as SEA, CIA, Tb-EIA, EIA</li> <li>• Climate change and adaptation</li> <li>• Integrated gender analysis in planning, implementation and monitoring</li> </ul> <p><b>Skills and attitudes:</b></p> <ul style="list-style-type: none"> <li>• Communications, including English proficiency, writing in synthesis and analysis, and presentation</li> <li>• Facilitations and networking</li> <li>• Gender awareness and sensitivity, integrating gender analysis in planning, implementation and monitoring</li> <li>• Political and cultural sensitivity</li> <li>• Working attitudes: team spirit, and accountability</li> </ul>
<b>Support staff</b>	<p><b>Knowledge:</b></p> <ul style="list-style-type: none"> <li>• Basic awareness on IWRM principles and approaches</li> </ul> <p><b>Skills and attitudes:</b></p> <ul style="list-style-type: none"> <li>• Communications, including English proficiency and IT, maintain contacts of networking</li> <li>• Political, cultural, and gender sensitivity</li> <li>• Working attitudes: team spirit, and accountability</li> <li>• Project and office management and administration</li> </ul>

Based on discussions within the MRCS, a review of training needs identified within the 2008 individual performance appraisal reviews (PAR) of MRCS staff and the consultations at the national level, there is general consensus on the priority capacity building needed to further establish the required competencies within the various agencies. Table 3 presents the priority knowledge, skills and attitude needs for the four levels of staff as identified from January 2008 and the 2008/09 consultation process. A more detailed list is attached in Annex 7.

#### 2.4 Available human capacity

The competencies outlined in the previous section provide entrance level standards for MRC staff; however the OR noted that it is difficult to identify, recruit and retain sufficiently qualified and experienced riparian staff at the MRC. The factors affecting staff capacity and turnover vary greatly amongst the four countries; they include issues ranging from salary levels to working environments. Further analysis of the HR policies and procedures and other related aspects are required.

Considerable sectoral knowledge is available at MRCS. Most staff have advanced degrees, many from international institutions. Knowledge on aspects of IWRM varies and additional capacity is needed to support the basin development planning process and the application of IWRM principles. The competency shortfalls are mostly related to the cross-cutting or “integrative” competencies necessary to effectively carry out the core programmes. To deliver its mission effectively and sustainably, the MRC must respond to these capacity gaps in current staff and must address the capacity needs of new staff joining the organisation.

The detailed analysis of NMCSs by the ITSP identified differences in capacity amongst the NMCSs - Thailand and Viet Nam have more capacity compared to Cambodia and Laos. The required MRC cross-cutting knowledge areas and skills were considered limited for carrying out the coordination role of the NMCSs. The ITSP findings were reiterated in the OR which reported that most NMCSs find it difficult to attract and keep well qualified staff and recommended that “*the capacity of NMCS staff needs to be developed, especially in English proficiency and programme coordination*”. The MTR of the Strategic Plan also recommended further training and capacity development of the NMCSs and line agency staff.

Currently, a consultancy is analysing the mandate, role, status, responsibilities and structure of the NMCs and NMCSs in their government systems and their relationship with the line agencies in the MRCS work process. The output of that study will be an important baseline document for determining ICBP needs in the NMCSs. Additional analysis will take place in order to establish the ICBP baseline for each of the four NMCSs and NMCs and to clearly understand the constraining factors in developing and retaining capacity. ICBP will have the scope to address some aspects through capacity development but others will be referred to higher level through the MRC governance structure.

#### 2.5 Relations to the MRC Strategic Plan

The MRC’s Strategic Plan 2006 – 2010 sets four goals in support of the basin development process: (i) to promote and support coordinated, sustainable, and pro-poor development, (ii) to enhance effective regional cooperation, (iii) to strengthen basin-wide environmental monitoring and impact assessment, and (iv) to strengthen the IWRM capacity and knowledge base at MRC bodies, line agencies and other stakeholders. Institutional and human resource capacity building has a critical role to play if the MRC, NMCs and prioritised line agencies and their staff are to be enabled to deliver on these goals.

The Mid-term Review of the Strategic Plan identified a number of priority aspects of relevance to the ICBP (many were addressed in the ITSP and OR):

- The riparianisation process is a central element of change in the organisational arrangements in the MRCS. The MTR re-emphasised the importance of the process being underpinned by capacity building including a “tracer” programme to keep track of staff who have returned to their home countries or moved to other international settings.

- Completion of the process of agreeing on the general principles and policies on stakeholder involvement in MRC Governance Bodies and on encouraging public participatory processes. Capacity building initiatives focused on IWRM will address some aspects of stakeholder engagement and public participation. ICBP will also help define the capacity building needs of the stakeholder consultative process currently being formulated by the MRC International Cooperation and Communications Section (ICCS).
- Development of more substantive links with the Asian Development Bank, World Bank and ASEAN. The ICBP plans to reinforce links with these institutions through cooperation on capacity building processes where feasible.
- Further development of concrete activities for the application of IWRM principles and processes at all levels, including on-the-job training for the line agencies. Other specific subject areas include environmental and social impact assessments and pro-poor development. ICBP commits to making “pro-poor development” a priority focus and will begin by reviewing how the subject is being addressed within MRC programmes.

### 3. Objectives and Programme Design

#### 3.1 Key features of the programme

During the four-year period of the programme implementation from 2009-2013, ICBP will facilitate the major developments taking place within the MRC with targeted capacity building activities.

Current planned developments are:

- Institutional development activities, underpinning the riparianisation process which is envisaged to be completed by 2012;
- Supporting the formulation of the next Strategic Plan 2011-2015 (in 2009-10), the implementation of the procedures on water utilisation, supporting scenario work, finalisation and national uptake of the Basin Development Plan (by 2010); and
- Creating the organisational culture and supportive environment to establish a true learning organisation as the core functions are further defined and established.

#### 3.2 Programme goal, objective and outcomes

*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.

The goal statement directly addresses improving the effectiveness of the MRC in achieving the goals as set out in the 1995 Agreement and in the current Strategic Plan. ICBP is to contribute to economic prosperity, environmental soundness and social equity through the sustainable and effective management of the Mekong River Basin by the member countries through capacity building, mainly focusing on two levels:

- Involved agencies, mainly the MRC, the NMCs and to a lesser extent the prioritised national agencies in the member countries; and
- Individuals working for the organisation and its wider environment.

Some interventions, however, will also target the level of enabling policy frameworks.

*Programme Objective:* MRC, NMCs and prioritised national agencies demonstrate an increased level of capacity to contribute to MRC objectives<sup>3</sup>.

The programme objective aims at three areas:

- To increase the organisational level capacity of the MRC and NMCs towards achieving the MRC objectives as set out in the 1995 Agreement and in subsequent Strategic Plans
- To achieve the necessary (quantitative and qualitative) level of competent human resources at MRC, NMCs and at the prioritised national agencies; and
- To create the enabling environment that both the MRC and the countries can together achieve MRC's mission effectively.

*Intermediate Outcome 1:* MRC, NMCs and prioritised national agencies have the necessary technical competencies<sup>4</sup> to integrate IWRM principles into policy making, planning and implementation.

*Intermediate Outcome 2:* MRC and NMCs (including their Secretariats) have the necessary organisational capability<sup>5</sup> to effectively coordinate and support the achievement of MRC objectives.

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<sup>3</sup> Objectives refer to the MRC objectives as set out in the Agreement on the cooperation for the sustainable development of the Mekong River Basin from April 1995 and in subsequent Strategic Plans.

<sup>4</sup> Technical refers to all aspects related to IWRM including hydrological, social, environmental, economic etc.

*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.

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

The indicators and data sources for the objective and outcomes are summarised in Table 4.

*Table 4: Programme objective, intermediate outcome and, associated indicators*

Programme objective	Indicators	Data Sources
MRC, NMCs and prioritised national agencies demonstrate an increased level of capacity to contribute to MRC objectives.	<p>1) The extent to which MRC and NMCs demonstrate significant improvements in their capacity to perform the “core functions*”. (The 2007 Organisational review will form the baseline for this indicator.)</p> <p>2) The extent to which national agencies integrate IWRM (at basin and sub-basin levels) into the design and implementation of LMB-related policies, plans and work programmes. (Baseline established within 6 months of programme.)</p>	<p>1.1) Periodic Independent Organisational assessments of MRCS &amp; NMCS *(assumption that this will be an MRCS-wide tool shared with other functions)</p> <p>1.2) Internal biennial MRC &amp; NMC self-assessment on performance of core functions</p> <p>1.3) MTR and Final Programme Evaluations</p> <p>2.1) Biennial external assessment of IWRM integration*(assumption that this will be an MRCS-wide tool shared with other functions)</p> <p>2.2) Case studies of change</p>
<b>Intermediate outcomes</b>		
1- MRC, NMCs and prioritised national agencies have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation.	<p>1) Quality of the technical outputs of the national agencies in the area of IWRM (e.g. policy documents plans, guidelines, etc).</p> <p>2) Quality of the technical outputs of the MRCS in the area of IWRM (e.g. policy documents plans, guidelines, etc).</p> <p>3) Key stakeholders’ (*MRC policy definition) perceived level of improved capacity of management and professional staff of MRC, NMCs and relevant national agencies in integrating IWRM principles.</p>	<p>1.1) Biennial independent assessment of IWRM integration by national agencies</p> <p>1.2) Case studies of change</p> <p>2.1) Biennial independent assessment of IWRM integration by MRCS</p> <p>2.2) Case studies of change</p> <p>2.3) Peer review of publications by the various expert groups linked to MRC programmes</p> <p>3.1) Peer Review by key stakeholders of IWRM outputs of MRC</p>
2 - MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives.	<p>1) Quality of core management systems (*FA, HR, PCM, etc.) at MRC organisational and programme levels.</p> <p>2) Perceived quality of MRC and NMCs key outputs (coordination, support, information and knowledge, capacity building) by prioritised national agencies.</p> <p>3) Perceptions of improved organisational performance by MRCS and NMCSs by international development and other international river basin organisations</p>	<p>1.1) Periodic Independent Organisational assessments of MRCS &amp; NMCS</p> <p>1.2) MRCS staff focus group discussions on various management systems</p> <p>2.1) Focus group discussions with relevant national agencies to gather feedback on the perceived quality of MRC and NMCs’ outputs</p> <p>3.1) Peer review of MRCS and NMCSs performance by IOs and other international river basin organisations.</p>
3 - Gender is mainstreamed	1) The extent to which MRCS organisational polices, strategies and procedures are gender	<p>1.1) MTR and Programme Evaluation</p> <p>1.2) MRCS human resource statistics</p>

<sup>5</sup> Capability incorporates efficiency, effectiveness, leadership, management, processes and systems and an enabling organisation culture.

within the MRCS and all IWRM work of the MRC, NMCs and relevant national agencies is made gender responsive.	<p>responsive.</p> <p>2) The extent to which MRCS programmes explicitly plan and budget the integration of gender aspects into their programmes and project cycle management work.</p> <p>3) The extent to which the plans, development programmes, technical approaches or policy documents from the prioritised national agencies are gender responsive.</p>	<p>1.3) Annual report on gender mainstreaming to the JC</p> <p>2.1) MTR and Programme Evaluation</p> <p>2.2) Review of MRCS programme implementation plans and annual plans by gender specialists in the regional network.</p> <p>3.1) Review of relevant national documents by gender specialists in the regional network.</p> <p>3.2) Focus group discussions with relevant staff from national agencies</p>
4 - An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of MRC.	<p>1) Level of demand and use of the ICBP products and services by target clients.</p> <p>2) The level of satisfaction of clients (national agencies, MRC staff, NMCs) with capacity building system.</p> <p>3) Mutual support and networking between institutions to support their capacity building work.</p> <p>4) Quality, quantity and timeliness of ICBP outputs.</p>	<p>1.1) ICBP six-monthly and annual report on services</p> <p>1.2) Database and portal statistics</p> <p>2.1) Client satisfaction surveys</p> <p>3.1) Focus group discussion with network members</p> <p>4.1) ICBP six-monthly and annual reports</p> <p>4.2) Internal MRC monitoring reports</p>

### 3.3 *Outputs and activities*

In this section the outputs associated with each of the four intermediate outcomes are described, together with the activities that ICBP will undertake as presented in the Design and Monitoring Framework in Annex 2. Detailed planning of the activities will be part of the annual work planning process.

**Intermediate outcome 1: MRC, NMCs and prioritised national agencies have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation.**

There are five outputs which contribute to intermediate outcome 1:

- Output 1.1 General IWRM competencies of all MRCS, NMCs and selected staff of prioritised national agencies are strengthened.
- Output 1.2 Specialised IWRM competencies for MRCS programmes are strengthened for selected staff of MRCs, NMCs and prioritised national agencies.
- Output 1.3 IWRM competencies of young professionals are developed through the delivery of the Junior Riparian Professional development process.
- Output 1.4 Sharing of expertise and experience between MDBA and MRC contributes to improved understanding of IWRM.
- Output 1.5 IWRM-related learning facilitated through MRC Internships, professional work exchange opportunities and by provision of scholarship-related information.

Intermediate outcome 1 is concerned with developing the capacity of core IWRM competencies in order to achieve the long-term core functions of the MRC and will involve building the capacity of individuals within the MRC, NMCSs and prioritised national agencies to ensure that they have the necessary knowledge and skills to enhance the organisational level capacity to apply IWRM principles into policy making, planning and implementation in the LMB.

The ICBP will work in collaboration with the MRCS programmes to develop specialised IWRM competencies which are relevant to the work of the programmes. In addition to targeting current staff of the various agencies and the appropriate members of the Council and the Joint Committee, the process will also build capacity of young professionals through the Junior Riparian Professional development programme and through internships of university graduates from the region.

The capacity building process will involve knowledge transfer processes, establishing communities of practice, learning networks, work exchange opportunities for professional staff and participation in courses. Social, economic, legal and policy aspects will have particular focus in addition to stakeholder participation and pro-poor development.

Key activities will include capacity building support to the BDP process as it works through the scenario development process until the end of 2010; support to the process of scaling up the application of the procedures for notification, prior consultation and agreement; and the application of the stakeholder participation policy and the changes associated with the establishment of core functions of the organisation. In addition, ICBP will collaborate with the programmes, sections and NMCS which have significant capacity building activities as part of their programme of work including the sustainable hydropower initiative's focus on EIAs, and collaboration with the newly-developed Climate Change and Adaptation Initiative (CCAI) and the Mekong IWRM Project (M-IWRM P).

The MRC-MDBA Strategic Liaison Partnership, Phase III (SLP) will deliver output 1.4 through conducting the following activities:

- Update of IWRM Training materials, and applied with paired case studies, in support of the BDP process;
- Establish networks and mentoring groups across professional staff of MDBC and MRC to strengthen communication, coordination and IWRM application; and
- Structured technical support and exchange between MDBA and MRC on priority IWRM issues.

MRC will now work together with MDBA to review the 2008 technical proposal and prioritise the scope and detail of the work plan to ensure that activities implemented under the SLP are fully integrated with all other IWRM-related capacity building implemented through ICBP.

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

The five outputs to achieve this intermediate outcome are:

- Output 2.1 MRC Human Resource Management policies and procedures to support capacity building revised and applied.
- Output 2.2 Leadership and Management competencies strengthened within MRC (Secretariat & Governance bodies) and NMCs.
- Output 2.3 Selected MRC organisational systems strengthened.
- Output 2.4 General organisational development competencies of staff of MRC, including Secretariat, Governance bodies and NMCSs, strengthened.
- Output 2.5 Core training programme for new staff is established and implementation coordinated.

Intermediate outcome 2 focuses on the development of the organisational systems and general organisational competencies required for the efficient functioning of the MRC and the NMCSs and to facilitate processes of change. The organisational competencies discussed in detail under 2.3 are the skills, attributes and behaviours which are considered necessary for all staff of the organisation, regardless of their function or level. The approaches to achieving this outcome will include:

- Revision and strengthening of the human resource policies and procedures to attract and retain appropriately qualified and experienced staff, to improve performance management and to support increased emphasis on developing capacity and learning within the organisation will take place during the first 18 months of the programme.
- Development of leadership and management competencies of key staff of MRCS, NMCS and representatives from the Joint Committee will be the focus of activities under this output to ensure that leaders and managers share a common vision and have the knowledge, attitudes and skills to drive the necessary change and to effectively manage people and processes to achieve the desired results.
- ICBP will work in collaboration with the executive level and relevant units to improve the overall enabling environment within the organisation and to strengthen organisational systems to enable greater ownership over planning processes, to improve monitoring of outcomes and application of learning, and to address other challenges as prioritised. The first two priorities will be the ongoing development of the results-based monitoring and evaluation system and the preparation for the 2011-2015 Strategic Planning Process.
- Developing the general organisational competencies of existing staff and setting in place a core training programme for all new staff joining the organisation will also be key outputs to achieving this outcome.

**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.**

The three outputs to achieve this intermediate outcome are:

- Output 3.1 MRC gender strategy and policy mainstreamed into MRCS systems, procedures and guidelines.
- Output 3.2 Gender responsive approaches are mainstreamed into the MRC sectoral programmes.
- 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.

Outcome 3 addresses two aspects of achieving gender responsive development practices, the first being to mainstream gender into all aspects of the MRC Secretariat and the second aspect is to build capacity to integrate and promote gender perspectives in all policies, plans and work programmes in the LMB. Both aspects build on the work of the two earlier phases of the Gender Mainstreaming Project.

Considered as a key competency within both the general organisational and core IWRM competencies, gender is addressed as a specific objective to build on the initiatives of the Gender Mainstreaming Project Phase I and II, and on the gender strategy and policy in place since 1998 and 2000. To achieve the first aspect of this objective, ICBP will review the various MRCS systems, procedures and guidelines and work on making and applying the necessary revisions in collaboration with the responsible units. ICBP will work in collaboration with a number of programmes to pilot the application of gender to all aspects of the programme cycle and to scale out the application to all MRCS programmes. Gender awareness raising, training and pilot project implementation activities which build on existing initiatives will be the approaches to achieving gender responsive development in all IWRM work of the prioritised national agencies.

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

The seven outputs to achieve this intermediate outcome are:

- Output 4.1 MRC and NMCs capacity building planning, information



- management, coordination and monitoring and evaluation system is established.
- Output 4.2 National capacity building plans (covering NMCs and prioritised national agencies) prepared and implementation monitored by NMCSs.
- Output 4.3 Lessons learned on capacity building processes documented and disseminated.
- Output 4.4 MRC programmes supported with capacity building methodological advice.
- Output 4.5 Capacity building materials repository (open access) established.
- Output 4.6 A regional network of training and education institutions is established to support long-term sustainable capacity building in IWRM.
- Output 4.7 Effective and efficient programme management and communication.

Intermediate outcome 4 will respond to the need to improve the coordination of all capacity building initiatives of the MRC under one umbrella and to develop a mechanism to support a sustainable integrated capacity building process for the MRC. The process will include the establishment and application of a mechanism to plan, coordinate, record, monitor and evaluate all capacity building implemented by the MRC and NMCs and to share all materials and resources through electronic and physical repositories. Documentation and dissemination of lessons learned on capacity building approaches will enable continuous adaptation of the various approaches being used by the MRC.

The establishment of a regional network of training and education institutions will provide the mechanism for sharing of materials and experiences amongst the relevant institutions and will form the basis for a longer term process of ensuring that high quality courses on IWRM are available at national institutions in each of the member countries. A well-managed programme with effective communication will be an essential aspect of ensuring the process is well-established and operates smoothly and sets in place the basis for a sustainable integrated capacity building initiative in the MRC.

### 3.4 *Addressing sustainability*

Achieving sustainable change in institutional capacity at the MRC Council, Joint Committee, Secretariat, NMC Secretariats and the prioritised national agencies is a considerable challenge requiring a long-term commitment to change. The four-year ICB Programme is the first step in the longer term process of at least ten years of change management which will require ongoing donor involvement to maintain the level of capacity development required to achieve sustained change.

The ICBP design will address key factors critical to sustain change within organisations and will establish a mechanism which will form the basis for sustainable capacity building. These initiatives will:

- Develop leadership and management competencies of key members of the MRC and NMCs to ensure that there is an institutional level commitment to change;
- Work with key actors to promote an organisational culture supportive of change;
- Contribute to the development of effective organisational systems which provide clear direction at all levels of planning and which improve communication, decision-making and other relevant organisational practices;
- Collaborate with human resource management team to make the required revisions to the HR policies and procedures which will enable the MRCS and NMCSs to retain a critical mass of appropriately qualified, experienced and motivated personnel;
- Strengthen the connections between the various human resource development elements of job descriptions and required competencies, performance management, capacity building needs assessments and knowledge transfer processes;
- Involve MRC leadership and management in steering and guiding all aspects of the ICB programme from thematic focus through to content of materials and in the methodologies selected. The ICBP Steering Committee will provide the formal basis for this high-level interaction;

- Work in a facilitative manner with the national agencies to ensure that capacity building is led by the national capacity building coordinators within the NMCSs together with senior staff;
- Build partnerships with training institutions at the regional and international levels such as AIT, Mekong Institute, CAP-NET, ICE WaRM and others and establish a network of educational institutions to enhance the level of formal education in IWRM in the region;
- Build partnerships with national level training agencies to involve them in training of trainers to increase the use of local languages and to improve the quality of services provided;
- Use MRC, NMCS and line agency staff as co-trainers/coaches when external capacity building specialists are contracted; and
- Increase the use of contemporary capacity building approaches such as peer learning, professional networks and communities of practice, electronic-based learning and staff exchanges, which encourage a culture of learning.

Capacity building within the MRC should never end. The MRC’s long-term commitment to capacity building is demonstrated through the incorporation of Capacity Building as one of the proposed four Core Functions of MRCS, namely core function three “Tools Development and Capacity Building Functions”. Demonstration of the financial commitment of the member countries is critical for the long-term sustainability of capacity building within the organisation. Some financial commitment is currently available through the operational expenses budget but attention will need to be paid to ensure that there is an ongoing financial commitment to capacity building by the MRC and its organisations during and after ICBP.

### 3.5 Assumptions and risks

Key assumptions and risks identified during the programme design are presented in Table 5 below, together with the respective risk management strategies. A more detailed table on the risk management strategies associated with the various outputs to achieve each outcome are provided in Annex 4.

Table 5: Risks and risk management

Programme Objective	Risks	Risk management
MRC, NMCs and relevant national agencies demonstrate an increased level of capacity to contribute to MRC objectives.	1) Adequate funding for ICBP is not secured to provide for the comprehensive implementation of the planned outputs. 2) Insufficient high-level commitment to capacity building by senior management. 3) The target organisations will not have the appropriate non-HR resources in place to deliver on their mandates, and the necessary political will does not exist to enable the institutions to function effectively.	1.1) Involving more than one development partner in supporting ICBP is highly important to achieve full funding of the programme. 1.2) If full funding is not achieved, there is scope to adjust the priority activities to the available budget & to delay implementation of activities until funding is available. 2.1) To ensure high-level commitment to capacity building, the CEO will chair the Steering Committee, one Division Director will also be a member as will senior representatives from the NMCSs. 3.1) ICBP’s initiatives on leadership will support efforts to develop a common vision & appropriate strategic leadership towards achieving the goals of IWRM in LMB.
Intermediate outcomes	Risk	Risk Management
1 - MRC, NMCs and prioritised national agencies have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation	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 and implementation.	4.1) Ensuring that key leaders are supportive of the change agenda of ICBP by involving them in the ICBP Steering Committee. 4.2) Capacity building initiatives targeting executive and senior management levels. 4.3) Revisions to the HR policies and procedures which are extremely important to achieving ICBP outcomes, will be a priority.

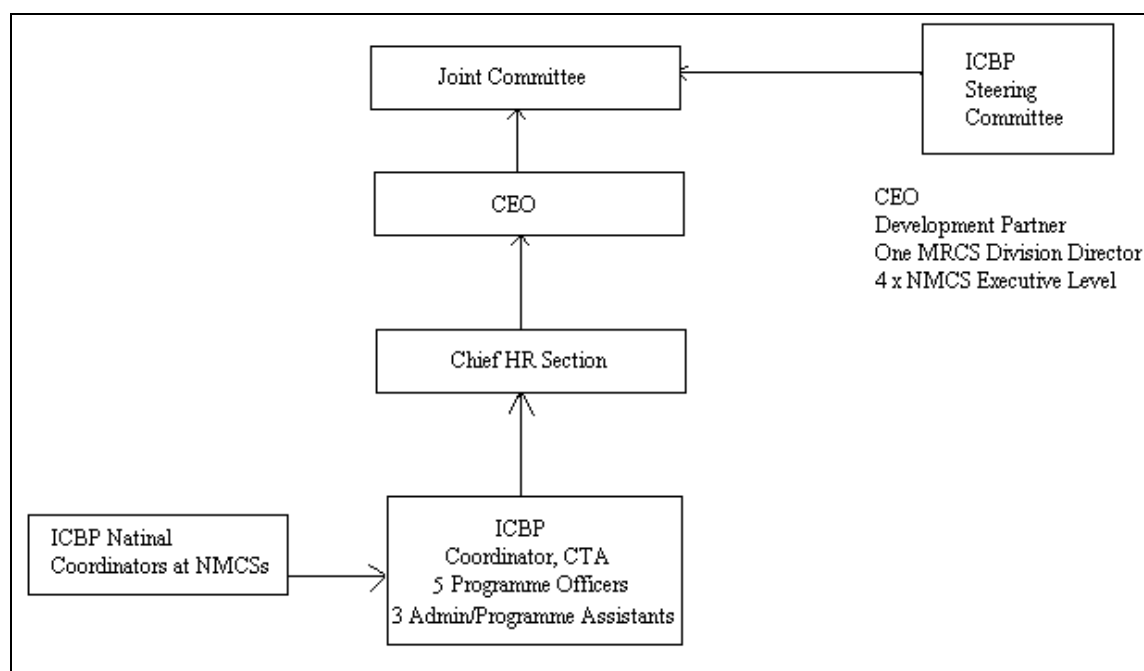
Intermediate outcomes	Risk	Risk Management
<p>2 - MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives.</p>	<p>5) MRCS and NMCSs do not sustain learning paths in organisational development and do not adequately adapt the organisational systems to sufficiently integrate new learning into the operations of the organisation.</p>	<p>5.1) The institutional level leadership development programme will build the organisation wide support for learning. 5.2) ICBP planning must ensure appropriate integration of the capacity development of organisation level systems and individual level capacity development if capacity development is to be systematically applied to all efforts to achieve MRC objectives.</p>
<p>3 - Gender is mainstreamed within the MRCS, and all IWRM work of the MRC, NMCs and prioritised national agencies is made gender responsive.</p>	<p>6) Inadequate commitment and insufficient capacity achieved in applying gender responsive development to contribute to the MRC objectives.</p>	<p>6.1) The involvement of high-level members in the ICBP Steering Committee should help to develop a stronger commitment to gender responsive development practices at the Senior Level of prioritised agencies and should thereby result in committed application to all plans, policies and work programmes. 6.2) Establishing a reporting process to the Joint Committee on the application of the gender strategy and policy should also provide incentives for senior management to be actively involved in gender mainstreaming and gender responsive development for IWRM.</p>
<p>4 - An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of MRC.</p>	<p>7) The capacity building planning &amp; coordination mechanism is not sufficiently cost effective to sustain the long-term capacity building required by MRC.</p>	<p>7.1) Considerable efforts will be made to ensure that the mechanism is well-designed, easy to use and is integrated into the existing systems of the MRC to ensure sustained capacity building to contribute to MRC objectives.</p>

## 4. Implementation and Management

### 4.1 Organisation

ICBP is placed under the overall management of the Human Resources Section. Its governance and administrative structure consists of a Steering Committee and a Management Team. The ICBP Management Team is responsible for the coordination, monitoring and timely implementation of all the activities planned in the annual work plan developed under the four-year programme framework. The Programme Implementation Plan and annual work plans shall be endorsed by the Programme Steering Committee after consultation with stakeholders.

Figure 1: ICBP organisational arrangements



The functions of the Steering Committee are to guide ICBP development and implementation, monitor ICBP activities, give advice in problem situations, link ICBP to the political and strategic decision level and facilitate information exchange between the ICBP, NMCSs and donors. The Steering Committee will be chaired by the CEO and will include the following six members: one development partner representative, one MRCS Director and one representative of the Executive level of each of the NMCSs. The ICBP Coordinator and the Chief of HRS will report directly to the Steering Committee meetings. Secretarial support to the Committee, which will meet twice each year, will be provided by the programme.

### 4.2 ICBP staffing

The proposed staffing of the ICBP consists of a management team made up of one programme coordinator, one chief technical adviser (CTA), and of five programme officers, three administrative/programme assistants and four national coordinators.

*Programme Coordinator* - Under the overall direction of MRCS Chief of Human Resources Section, the ICBP Programme Coordinator is responsible for the day-to-day management of ICBP Programme (working in close collaboration with the CTA). This work will include overall coordination of ICBP and team management; coordination/collaboration with programmes and NMCSs; annual planning and

preparation of work plans; procurement; contracting of services and supervision; monitoring and ongoing evaluation of all aspects of the programme; reporting and learning lessons to steer the programme implementation; collaboration with other assistance efforts within the MRC; and development and maintenance of relationships with external partners.

The programme coordinator will have overall responsibility for the monitoring and evaluation of the programme results and will assign responsibilities to one of the programme officers assigned a specific role in the M&E of the programme. The MRCS Programme Coordinator will report regularly, through the Chief of HRS and the MRC CEO to the MRC Joint Committee, Development Partners and other stakeholders on ICBP progress and key issues.

*Chief Technical Adviser* - Under the overall supervision of the Section Chief HRS the CTA reports to the ICBP Programme Coordinator. In close collaboration with the ICBP Programme Coordinator, the CTA will work on the coordination and implementation of activities of ICBP including but not limited to planning, coordination, implementation, monitoring and technical guidance.

*Programme Officers (five)* - Under the direct supervision of the ICBP Programme Coordinator, the Programme Officers are responsible for carrying out day-to-day activities of ICBP. Each officer is assigned a set of priority activities, such as gender mainstreaming, general organisational development competencies, IWRM-related competencies, leading the coordination and learning from capacity building, for which he/she will be primarily responsible. These priorities may be changed by the programme coordinator through the course of the programme.

One of the five programme officers is the Human Resources Development Officer, contracted under OEB funding, who will form an integral part of the ICBP team and will lead the activities under the OEB training budget and the junior professional development and internship processes.

*Administrative Support Staff (three)* - Based on the high administrative work load associated with capacity building and training, it is proposed to have three staff within the administrative pool for the Programme. The administrative pool will work under the direct supervision of the ICB Programme Coordinator.

*National Programme Coordinators* - The National Programme Coordinator (NPC) is the national focal point of all programme activities and projects being implemented under the ICBP at national level. A National coordinator works under the overall supervision of the Head of each NMC Secretariat, and in close liaison with officials involved in developing and implementing ICBP activities. Based on the specific arrangements of the NMCS, the ICBP National Programme Coordinator may also assume the role of the national gender coordinator, but in other cases, the national gender coordinator may be a different member of the NMC team.

#### 4.3 Institutional arrangement

##### *MRC level*

At the core of the programme is the management team and its permanent working linkages with each of the MRC programmes, the NMCs and senior management of MRCS.

ICBP national coordinators are already in place from the ongoing Step 2 of ICBP. Six-monthly meetings will be organised for the ICBP team based at MRCS together with the national coordinators. Key line agencies will be requested by NMCSs to nominate a focal point for ICBP to facilitate the sharing of information and exchange on capacity building through to the line agencies.

Based on the experience of establishing the Gender In-House Network, ICBP will continue to build on this In-House Network to support the gender mainstreaming process and will also establish a similar

MRC Learning Network to support the development of a learning culture within the organisation and to support communication with ICBP.

#### *Partners and partnership arrangements*

During the development of the detailed programme implementation plan, ICBP will enter into dialogue with key potential partners to define ways of engaging them in programme implementation at national and regional level. Elements of the relationships with partners will involve including them as participants in capacity building activities, contractual arrangements to provide services and more long-term partnerships arrangements.

A key aspect of this dialogue will also be to establish a more in-depth understanding of the possible roles of the ICBP Associates Network, and to explore the potential added value of establishing such a network to contribute to developing capacity for IWRM in the LMB and the linkages with other established IWRM networks such as CAP-NET. Preliminary discussions took place with a number of institutions during the formulation phase and all institutions visited indicated a high level of interest in collaborating with the MRC ICBP. Further discussions and consultations regarding the scope of each of these partnerships will take place during the development of the programme implementation plan. Potential partners include key institutions at the national level, and a number of regional and international institutions listed below:

- Royal University of Phnom Penh, Cambodia
- Royal University of Agriculture, Cambodia
- Institute of Technology of Cambodia, Cambodia
- National University of Lao, Lao PDR
- Hanoi Water Resources University, Viet Nam
- Institute of Meteorology and Hydrology, Hanoi, Viet Nam
- Can Tho University, Viet Nam
- Chulalongkorn University, Thailand
- Kasetsart University, Thailand
- Khon Kaen University, Thailand
- Asian Institute of Technology, Thailand
- Mekong Institute, Thailand
- CAP-NET, Capacity Building for IWRM, UNDP-founded network, SE Asia
- International Centre of Excellence for Water Resources Management (ICE WaRM), Australia
- UNESCO-IHE, Institute for Water Education, the Netherlands
- Gender and Water Alliance

#### *4.4 Implementation arrangements*

To successfully implement the programme, a range of implementation arrangements will be developed through which ICBP will act as a facilitator, a coordinator, lead organiser, co-trainer, contractor and service provider.

ICBP will act as a facilitator to support the capacity building planning process of Senior Management, the programmes and NMCS teams to ensure that the most urgent capacity building needs are identified and the appropriate capacity building responses designed and implemented.

ICBP will take a coordination role for the overall MRC planning process, to develop a planning template, to combine plans provided by the programmes, to assess areas of overlap and to identify gaps; ICBP will also develop an electronic repository for all capacity building materials to be shared across the programmes and NMCs and a database to record the capacity development support for all participants.

ICBP will provide methodological support to the programmes to follow-up on learning outcomes from capacity building interventions and will also provide advisory services on various capacity building methodologies on request from the programmes.

ICBP will directly facilitate some short training courses and provide mentoring support on general organisational competencies such as facilitation skills, networking and communication skills to MRCS staff and will be available to provide some capacity building support to NMCS and national agencies on request. However, this role will not take priority over other aspects of programme implementation. Capacity building service providers will be contracted to provide support to the institutional level capacities of leadership and strategic planning, organisational development and IWRM competencies as required by the various initiatives. .

Agreements will be developed with the programmes to specify the roles and responsibilities of ICBP and the programme teams where capacity building activities are developed and implemented collaboratively. In such cases, the role of ICBP may vary from having limited input on the capacity building methodology through to ICBP taking an active role in organising all aspects of the training through to a full sub-contractual arrangement where all responsibility for the capacity building activity is handed over to ICBP by the programme.

In other cases, ICBP will sub-contract out the implementation of the specific output or activity. In the case of the development of the results-based monitoring system for the MRC, the sub-contractual arrangement will be with the technical coordination unit but in other cases, subcontracts will be developed with appropriately competent service providers.

As part of the Human Resources Section of MRCS, the programme officer supported under the operational expenses budget is required to act as the coordinator for the orientation processes for all new staff joining MRCS. A new core training programme for all new staff joining the organisation will be established and made available by ICBP. Through the National ICBP coordinator, national level orientation for professional staff joining the MRCS will be organised. ICBP will also work closely with the HRS to provide input to the revision of human resource policies to ensure that they are supportive of a learning organisation and to provide the required capacity building support to performance assessment, knowledge transfer processes and human resource development planning.

#### *4.5 Implementation schedule*

A detailed implementation schedule will be prepared in consultation with the countries during the development of the programme implementation plan. Detailed annual work plans will be prepared for each year of the programme.

#### *4.6 Budget*

The summary budget prepared for the four-year programme is summarised in Table 6. A more detailed per annum output-level budget is provided in Annex 3.

Key budget items in ICBP include the following:

- Staff - includes the salaries for full-time ICBP professional riparian staff, national ICBP coordinators, support staff and one CTA until end 2012 and required technical staff inputs associated with the implementation of the MDBA project, the consultancy services for the development of the RBM for MRC and monthly stipends for the JRPs and interns.
- Capacity building/training - Institutions, consultants and training service providers will be contracted to undertake specific capacity building activities under ICBP. These will include training courses, seminars, on-the-job coaching and mentoring support, development of electronic modules and other approaches as appropriate.

- Coordination - regular ICBP team meetings and the bi-annual steering committee meetings will provide the opportunities for ICBP to reflect on progress, share experiences and make plans.
- Monitoring and evaluation – respective costs are included within reporting costs and publications, the allocation to the project evaluation relates specifically to the JRP & SLP.
- The contingency allows for a flexible response to emerging issues but also provides for exchange rate fluctuations.

*Table 6: Summary budget table*

BL	Description	Budget requirements in \$US
11-00-00	International experts / consultants	509,000
12-00-00	International staff (MRCS)	651,000
13-00-00	Support staff	95,800
15-00-00	Official travel	241,900
16-00-00	Project evaluation	170,000
17-00-00	Riparian experts / consultants	235,002
17-00-01	NMC coordinators	96,000
17-00-02	JRP members	646,000
18-00-00	Riparian professional staff (MRCS)	761,000
21-00-00	Sub-contracts	90,000
30-00-00	Capacity building managed by MRC	1,774,000
30-00-01	Capacity building managed by NMCs	750,000
41-00-00	Expendable equipment	108,400
42-00-00	Non-expendable equipment	138,000
51-00-00	Operation and maintenance of equipment	6,000
52-00-00	Reporting costs	170,000
53-00-00	Miscellaneous	104,000
	<b>Subtotal 1</b>	<b>6,546,000</b>
57-00-00	Contingency	474,310
	<b>Subtotal 2</b>	<b>7,020,000</b>
70-00-00	MRC management and administration fee (11%)	772,245
	<b>Total</b>	<b>7,800,000</b>

The Government of Finland commitment to the JRP project is approximately US\$984,000 from January 2008 to December 2011. The funds allocated to the project from July 2009 are approximately US\$734,000. The Government of Finland has also recently indicated a commitment of one million Euro (approx US\$1,360,000) for the period 2011-2014. Based on recent annual allocations of the operational expenses budget to training, a total of US\$220,000 is anticipated from 2009-2013. NZAID has provided funds for the GMP from 2004-June 2009 and has indicated a possible contribution of US\$660,000 for the next four years.

Table 7 shows the anticipated expenditures and indicates the funding requirements over the programme's duration.



Table 7: Anticipated expenditures, secured funding and funding requirements

	Year 1	Year 2	Year 3	Year 4	Total
<b>ICBP estimated costs</b>	<b>2,188,088</b>	<b>1,987,856</b>	<b>1,877,909</b>	<b>1,891,285</b>	<b>7,800,000</b>
<b>Secured funding</b>					
Finland Junior riparian project	320,000	288,000	126,000		734,000
MRC OEB MRC staff training	40,000	50,000	60,000	70,000	220,000
<b>Indicative pledges</b>					
New Zealand Gender mainstreaming project	165,000	165,000	165,000	165,000	660,000
Finland ICBP Commitment 2011-2014	0	170,000	340,000	340,000	850,000
<b>Total secured funding and indicative pledges</b>	<b>525,000</b>	<b>673,000</b>	<b>691,000</b>	<b>575,000</b>	<b>2,484,000</b>
<b>ICBP funding requirements</b>	<b>1,681,403</b>	<b>1,320,960</b>	<b>1,211,329</b>	<b>1,236,920</b>	<b>5,334,763</b>

The Government of Finland commitment to the JRP project is approximately US\$984,000 from January 2008 to December 2011. The funds allocated to the project from July 2009 are approximately US\$734,000. The Government of Finland has also recently indicated a commitment of one million Euro (approx US\$1,360,000) for the period 2011-2014. Based on recent annual allocations of the operational expenses budget to training, a total of US\$220,000 is anticipated from 2009-2013. NZAID has provided funds for the GMP from 2004-June 2009 and has indicated a possible contribution of US\$660,000 for the next four years.

The total budget for the envisaged ICBP is US\$7.8 million and when the commitments from the Government of Finland and OEB and the indicative pledges are considered, the total ICBP funding requirement is approximately US\$5.3 million.

Considering the indication from AusAID to fund the project to a figure of AU\$6 million (approx US\$4 million) a funding gap of US\$1.3 million remains. During the first years of the programme, any shortfalls in the budget will be addressed through prioritisation of activities in parallel to exploring additional funding sources.

#### 4.7 Monitoring and reporting

There are two levels at which monitoring and reporting are required for ICBP:

Impact of the ICBP – this level reflects the achievement of the objective and outcomes, and the indicator framework is included in the Design and Monitoring Framework. The objective indicators assess the extent to which capacity building has influenced the overall performance of the MRC, NMCs and the prioritised national line agencies. Such indicators take some time to register change, and monitoring and reporting of these at the institutional level should take place every two years.

The Independent Organisational, Financial and Institutional Review will be considered as the baseline for the overall institutional context and the current assessment of the functions of the NMCs and NMCSs will also provide important base line information for the programme. ICBP will work in collaboration with other programmes (BDP and IKMP in particular) to combine efforts to establish more specific baselines with regard to the integration of IWRM principles and other aspects which are common across a number of programmes. More detailed plans for establishing additional baseline information will be developed as part of the PIP process. A competency framework will be developed to identify the required competencies of various positions and to assess performance. This framework will initially be applied at the management level and will progressively be applied to programme officer and support staff as an integral part of the performance appraisal reviews. The competency processes will focus on self assessment for most professional staff but will also involve independent competency assessments for key staff in senior management position.

Progress and performance of the ICBP – this is the normal requirement to monitor progress and assess performance. The monitoring depends on the indicators for the process of implementing the programme and the output indicators of products and services against set targets and dates. The overall output indicators are defined in the Design and Monitoring Framework and targets will be defined once the baseline is completed. Annual planning processes will define specific capacity building activity deliverables which will be incorporated into the monitoring plan.

Reporting on progress of ICBP will take place twice yearly at six-monthly intervals each year following an agreed, harmonised format for all donors and implementing partners. The report outline:

- Programme objectives and targets for the year;
- Progress on outputs and assessment of outcome indicators;
- Financial status;
- Factors affecting progress and corrective actions; and
- Planned progress for the following year.

Review and evaluation – the process for ICBP is as follows:

- During the completion of the programme implementation plan, the Design and Monitoring Framework will be reviewed by the MRCS programmes and NMCs and endorsed in June 2009. Also in June, ICBP in conjunction with the consultants designing the RBM system for the MRC will develop the detailed terms of reference for establishing the baseline for the programme which will be undertaken at the outset of the programme.
- Mid-term review and ex-post programme evaluation, requirements to be determined in PIP. A budget of US\$170,000 has been allocated to Programme Evaluation to cover the costs of the baseline preparation, Mid-term Review and Programme Evaluation.

## **Annex 1: Definitions**

*Capacity building.* ‘Capacity Building’ is widely regarded as the key strategy in ensuring sustainable water sector development. The Delft Declaration during a 1991 UNDP symposium established three elements of water sector capacity building:

- Human resources development and the strengthening of managerial systems;
- Institutional development, including community participation; and
- The creation of an enabling environment with appropriate policy and legal frameworks.

*Capacity development.* Capacity development has now largely replaced the term capacity building in the literature to reflect the desire to move away from the implication that development assistance is needed to build capacity from scratch, and to embrace the view that capacity development should strengthen existing structures. Capacity development initiatives should embrace some notion of sustainability, since once capacity is established it needs to be maintained over the long term. This may include changing the enabling environment that controls the incentives (or disincentives) that are so crucial to the stability of capacity. (As the term “capacity building” has been included within the current strategic plan and the programme title, the use of the term will be continued within this programme).

*Cross-cutting skills.* These are skills which are necessary to address issues which impact on more than one technical programme within the MRC and its member countries at national level (NMCSs). They consist of common interest themes or important issues under the business of the MRC such as trans-boundary conflict management, integrated water resource management, strategic environment assessment and environmental impact assessment.

*Gender.* Gender refers to roles, responsibilities, needs, interests and capacities of both men and women. These are influenced by social and cultural factors. Therefore the term “gender” is not synonymous with the term “sex” which refers exclusively to biological differences.

*Gender responsive development.* Gender responsive development creates an environment that reflects the awareness of gender concepts, and the factors that create gender disparities and inequalities due to differing social, economic, cultural and political realities of people and addresses them through mainstreamed and targeted interventions and activities on all levels and phases of development to foster gender equality and empowerment and thereby contribute to sustainable and equitable development.

*General organisational development competencies.* General organisational competencies consist of knowledge, skills and attitudes required for the functioning of an organisation. These competencies – defined by the University of Michigan among others - include capabilities in management, supervision, communications, presentation, language proficiency, use of computers, leadership and negotiation for example. These competencies are necessary for all staff at various levels and positions within an organisation.. UNDP defines these competencies as the skills, attributes and behaviours which are considered important for all staff of the organisation, regardless of their function or level. UNDP also defines “competency” as a combination of skills, attributes and behaviours that are directly related to successful performance on the job.

*Integrated Water Resource Management (IWRM).* IWRM has been defined in many ways and most definitions emphasize inter-disciplinary collaboration and coordination within multi-objective settings. “Integrated Water Resources Management is a process which promotes the coordinated development and management of water, land and related resources, in order to maximise the resultant economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems” (Global Water Partnership Technical Advisory Committee 2000) “A more comprehensive or inclusive approach that takes into account the scope and scale of environmental and human issues and their

interconnections..... a strategic and interactive process that is used to identify the key elements or goals at which to direct attention. These critical elements or goals then become the focus of an inter-organisational or coordinated approach to reforming environmental decision-making.” (Queensland Department of Natural Resources 1991)

*Integration.* An integrated approach incorporates capacity building into the work of the organisation and does not consider capacity building and implementation of the core functions as mutually exclusive. In the case of ICBP, integration will also mean that capacity development will be addressed across a number of different levels: individual, organisational, institutional and network.

*Results-based management.* Results-based management is a comprehensive, life-cycle approach to management that integrates business strategy, people, processes, and measurements to improve decision-making and to drive change. The approach focuses on getting the right design early in a process, implementing performance measurement, learning and change, and reporting on performance (from CIDA).

*Results-based monitoring and evaluation.* Results-based monitoring and evaluation (M&E) represents another level in the monitoring system in addition to monitoring activities and outputs which concentrates on monitoring results and which focuses specifically on the change processes a programme intends to initiate or has initiated in attitudes and practices of partner organisations or target groups. It measures the achievement of objectives and shows the linkages to the higher development goals. The objective of RBM is to improve the effectiveness and efficiency of programmes through learning on programme level and by supporting learning on the institutional level, which enable improved decision-making and steering of programmes. RBM is about being accountable for the intended outcomes of the programme and improving institutional learning.

*Riparianisation.* Riparianisation is a process through which ownership of and commitment to the MRC by member states is strengthened by increasing technical and management responsibilities of riparian staff. As a consequence, international staff of the MRC Secretariat will be gradually replaced by qualified staff from MRC member countries.

## Annex 2: Design and Monitoring Framework

This log-frame sets out the goal, overall objectives, outcomes (presented as immediate objectives) and outputs for ICBP. The log-frame also sets out a project monitoring framework emphasising indicators which measure impact from the ICBP. This framework will be developed in more detail during the start-up phase of ICBP when the baseline data will be gathered and additional targets will be set for 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.	<p>1) The extent to which MRC and NMCs demonstrate significant improvements in their capacity to perform the “core functions*”. (The 2007 Organisational Review will form the baseline for this indicator)</p> <p>2) The extent to which national agencies integrate IWRM (at basin and sub-basin levels) into the design and implementation of LMB related policies, plans and work programmes. (Baseline established within 6 months of programme)</p>	<p>1.1) Periodic Independent Organisational assessments of MRCS &amp; NMCS *(assumption that this will be an MRCS-wide tool shared with other functions)</p> <p>1.2) Internal biennial MRC &amp; NMC self-assessment on performance of core functions</p> <p>1.3) MTR and Final Programme Evaluations</p> <p>2.1) Biennial external assessment of IWRM integration*(assumption that this will be an MRCS-wide tool shared with other functions)</p> <p>2.2) Case studies of change</p>	<p>1) Adequate funding for ICBP is not secured to provide for the comprehensive implementation of the planned outputs.</p> <p>2) Insufficient high-level commitment to capacity building by senior management.</p> <p>3) The target organisations will not have the appropriate non-HR resources in place to deliver on their mandates, and the necessary political will does not exist to enable the institutions to function effectively.</p>
Intermediate Outcomes			
1 MRC, NMCs and prioritised national agencies have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation.	<p>1) Quality of the technical outputs of the national agencies in the area of IWRM (e.g. policy documents plans, guidelines, etc).</p> <p>2) Quality of the technical outputs of the MRCS in the area of IWRM (eg policy documents plans and guidelines).</p>	<p>1.1) Biennial independent assessment of IWRM integration by national agencies</p> <p>1.2) Case studies of change</p> <p>2.1) Biennial independent assessment of IWRM integration by MRCS</p> <p>2.2) Case studies of change</p> <p>2.3) Peer review of publications by the various expert groups linked to MRC programmes</p>	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 and implementation.

Intermediate Outcomes	Indicators	Data Sources/reporting	Risks
	3) Key stakeholders' (*MRC policy definition) perceived level of improved capacity of management and professional staff of MRC, NMCs and prioritised national agencies in integrating IWRM principles.	3.1) Peer Review by key stakeholders of IWRM outputs of MRC	
2 MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives.	<p>1) Quality of core management systems (*FA, HR, PCM, etc.) at MRC organisational and programme levels.</p> <p>2) Perceived quality of MRC and NMCs key outputs (coordination, support, information and knowledge, capacity building) by prioritised national agencies.</p> <p>3) Perceptions of improved organisational performance by MRCS and NMCSs by international development and other international river basin organisations.</p>	<p>1.1) Periodic Independent Organizational assessments of MRCS &amp; NMCSs</p> <p>1.2) MRCS staff focus group discussions on various management systems</p> <p>2.1) Focus group discussions with relevant national agencies to gather feedback on the perceived quality of MRC and NMCs' outputs</p> <p>3.1) Peer review of MRCS and NMCSs' performance by IOs and other international river basin organisations</p>	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.
3 Gender is mainstreamed within the MRCS and all IWRM work of the MRC, NMCs and prioritised national agencies is made gender responsive.	<p>1) The extent to which MRCS organisational polices, strategies and procedures are gender responsive.</p> <p>2) The extent to which MRCS programmes explicitly plan and budget the integration of gender aspects into their programmes and project-cycle management work.</p> <p>3) The extent to which the plans, development programmes, technical approaches or policy documents emanating from the prioritised national agencies are gender responsive.</p>	<p>1.1) MTR and Programme Evaluation</p> <p>1.2) MRCS human resource statistics</p> <p>1.3) Annual report on gender mainstreaming to the JC</p> <p>2.1) MTR and Programme Evaluation</p> <p>2.2) Review of MRCS programme implementation plans and annual plans by gender specialists in the regional network.</p> <p>3.1) Review of relevant national documents by gender specialists in the regional network</p> <p>3.2) Focus group discussions with relevant staff from national agencies</p>	6) Inadequate commitment and insufficient capacity achieved in applying gender responsive development to contribute to the MRC objectives.

Intermediate Outcomes	Indicators	Data Sources/reporting	Risks	
4	An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of the MRC.	1) Level of demand and use of the ICBP products and services by target clients.  2) The level of satisfaction of clients (national agencies, MRC staff, NMCs) with capacity building system.  3) Mutual support and networking between institutions to support their capacity building work.  4) Quality, quantity and timeliness of ICBP outputs..	1.1) ICBP six-monthly and annual reports on services 1.2) Database and portal statistics  2.1) Client satisfaction surveys  3.1) Focus group discussion with network members  4.1) ICBP six-monthly and annual reports 4.2) Internal MRC monitoring reports	7) The capacity building planning & coordination mechanism is not sufficiently cost effective to sustain the long-term capacity building required by the MRC.
<b>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.</b>				
	Indicators	Data Sources/reporting	Risks	
1.1	General IWRM Competencies of all MRCS, NMCS and selected staff of prioritised national agencies are strengthened.	1) % of targeted individuals who participate in IWRM capacity building activities. 2) 70% of target beneficiaries report application of IWRM-related learning to the work in their respective agencies.	1.1) Training Database 2.1) Follow-up surveys for application of learning to work assignments 2.1) Case studies of significant change	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.
1.2	Specialised IWRM competencies for MRCS programmes are strengthened for selected staff of MRCS, NMCSs and prioritised national agencies.	1) % of targeted individuals who participate in specialised IWRM capacity building activities. 2) % of targeted participants indicate increased competencies in specialised IWRM competencies.	1.1) Training Database 2.1) Self assessment of competencies by individuals and at agency level	10) Poor advance coordination and planning with the programmes may lead to exceedingly high expectations of ICBP or poor working relations.
1.3	IWRM competencies of young professionals are developed through the delivery of the Junior Riparian Professional Development training Programme.	1) 40 young professionals graduate from the JRP training programme. 2) 70% of JRP graduates are involved in IWRM-related work 12 months after graduating from the programme.	1.1) JRP trainees list within database 1.2) Alumni network tracer studies undertaken annually	11) The hosting of junior professionals by the programmes causes frustration due to high workloads or poor matching of JRPs to programme.

<b>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.</b>				
		<b>Indicators</b>	<b>Data Sources/reporting</b>	<b>Risks</b>
1.4	Sharing of expertise and experience between MDBA and MRC contributes to improved understanding of IWRM.	1) Training materials developed 2) 80% of participants report application of learning 3) 5 case studies developed (MRCS x1 & NMCs x4) 4) 70% of Network participants report learning	1.1) Training manual 2.1) Follow-up surveys 3.1) Case Study reports 4.1) Network member surveys	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 and by provision of scholarship-related information.	1) 4 internships facilitated annually. 2) 2 professional work exchanges facilitated annually. 3) 2 scholarships are achieved annually through ICBP target group. 4) 100% of graduates from internships & work exchange processes report application of learning.	1.1) Training database 2.1) Training database 3.1) Training database 4.1) Case study	13) The absorption 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.
<b>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.</b>				
2.1	MRC Human Resource Management policies and procedures to support capacity building revised and applied.	1) Revised HRM policies & procedures approved by JC/ Council. 2) Feedback on effectiveness of revised HRM policies & procedures.	1.1) JC minutes 2.1) 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.
2.2	Leadership and Management competencies strengthened within MRC (Secretariat & Governance bodies) and NMCs.	1) 90% of key staff in management & positions in MRCS & NMCSs participate in leadership & management capacity building. 2) Improved leadership & management of MRCS and NMCSs acknowledged by Organisational Review.	1.1) Training database 2.1) Organisational Review 2.2) Data sources	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.



<b>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.</b>				
		<b>Indicators</b>	<b>Data Sources/reporting</b>	<b>Risks</b>
2.3	Selected MRC organisational systems strengthened.	1) 4 strengthened organisational systems included capacity building processes. 2) Improved organisational systems contribute to organisational effectiveness. 3) Results from annual ICBP monitoring plan.	1.1) MRC manuals 2.1) Organisational review 2.2) Focus group discussions 3.1) ICBP results-based monitoring reports	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).
2.4	General organisational development competencies of staff of MRC(Secretariat and Governance bodies and NMCSs) strengthened.	1) ) % of targeted individuals who participate in organisational development capacity building activities. 2) 70% of target beneficiaries report application of organisational development-related learning to the work in their respective agencies.	1.1) Training Database 2.1) Follow-up surveys for application of learning to work assignments 2.1) Case studies of significant change	ICBP activities exceed the absorptive capacity of the recipient organisations and individuals are overwhelmed.  Resistance to involvement in more contemporary capacity building approaches.
2.5	Core training programme for new staff is established and implementation coordinated.	1) 4 modules designed as part of the core training programme for new staff. 2) 90% of all new staff joining MRCS undertake core training programme.	1.1) Training materials  2.1) Training Database	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.
<b>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.</b>				
3.1	MRC gender strategy and policy mainstreamed into MRCS systems, procedures and guidelines.	1) Gender responsive development incorporated into all major MRCS procedures & guidelines.	1.1) Manual & guideline documents 1.2) Independent review of MRCS gender mainstreaming 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.

<b>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.</b>				
3.2	Gender responsive approaches are mainstreamed into the MRC sectoral programmes.	1) MRCS programme workplans allocate budget and human resources to gender responsive development activities. 2) Application of gender responsive development is reflected in field activities of programmes.	1.1) Annual workplans  2.1) 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.	1) 70% of participants from gender responsive capacity building at national agencies report application of learning.	1.1) Follow-up surveys 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
<b>Outputs under Intermediate Outcome 4: An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of the MRC.</b>				
		<b>Indicators</b>	<b>Data Sources/reporting</b>	<b>Risks</b>
4.1	MRC (Secretariat and NMCs) capacity building planning, information management, coordination and monitoring and evaluation system is established.	1) 4 annual plans with associated information on participants, course materials and M&E reports 2) Improved coordination & integration of capacity building in MRC & NMCs.	1.1) ICBP annual reports 1.2) Training Database 2.1) Surveys of programmes & NMCs	The mechanism to support the planning, information management, etc is poorly conceived at the outset and requires multiple revisions and adjustments  Challenges arise with linking the ICBP results-based monitoring and evaluation process to the MRC system.
4.2	National capacity building plans (Covering NMCs and prioritised national agencies) prepared and implementation monitored by NMCSs.	1) 4 annual capacity building plans for each of the four countries. 2) 80% of NMCS and national agency target beneficiaries report application of learning from nationally implemented capacity building.	1.1) 4 NMCS annual workplans & annual reports 2.1) Surveys to follow-up on nationally implemented activities	25) Insufficient efforts are provided in developing the capacity of the NMCSs to enable them to lead the planning process at the national level.
4.3	Lessons learned on capacity building processes documented and disseminated.	1) 4 annual briefs sharing lessons learned from capacity building processes.	1.1) 4 Annual capacity building briefs	26) Lessons are learned for individual activities but are poorly applied to new activities.

<b>Outputs under Intermediate Outcome 4: An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of the MRC.</b>				
		<b>Indicators</b>	<b>Data Sources/reporting</b>	<b>Risks</b>
4.4	MRC programmes supported with capacity building methodological advice.	1) Number of requests for assistance from programmes & NMCSs.	1.1) ICBP annual reports 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.	1) Number of material sets entered into repository annually 2) Number of searches for resources in the physical and electronic repositories.	1.1) ICBP annual report  2.1) Resource centre statistics 2.2) Portal statistics	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.
4.6	A regional network of training and education institutions is established to support long term sustainable capacity building in IWRM.	1) Number of active network members. 2) 60% of network members report positively on participation in network and application of shared learning.	1.1) Annual network reports in ICBP annual report 2) Surveys of network members	29) Insufficient interest of the training institutions and universities in participating in a regional capacity building network.
4.7	Effective and efficient programme management and communication.	1) 70% of ICBP activities in annual workplans implemented in a timely and quality manner. 2) Prudent financial management of the programme budget – disbursement achieved & procurement in accordance with procedures.	1.1) ICBP annual reports  2.1) Steering Committee Minutes	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.

### Annex 3: ICBP Per Annum Output Level Budget<sup>6</sup>

ICBP Programme Outputs	Overall budget	Year1	Year 2	Year 3	Year 4
Output 1.1 General IWRM competencies of all MRCS, NMCS & selected staff of national agencies strengthened	314,774	84,188	84,188	70,146	76,251
Output 1.2 Specialized IWRM competencies for MRCS programmes strengthened for selected staff of MRCS, NMCSs ...	385,714	102,381	102,381	94,444	86,508
Output 1.3 IWRM competencies of young professionals are developed through the delivery of the JRP	1,169,940	292,485	292,485	292,485	292,485
Output 1.4 Sharing of expertise & experience between MDBA & MRC contributes to improved understanding of IWRM.	717,060	177,878	183,428	177,878	177,878
Output 1.5 IWRM-related learning facilitated through MRC internships, professional work exchange opportunities &	118,437	28,694	37,241	23,199	29,304
Output 2.1 MRC HRM policies & procedures to support capacity building revised and applied	131,258	54,335	36,630	20,147	20,147
Output 2.2 Leadership & management competencies are strengthened within MRC & NMCS	559,462	150,305	143,712	137,607	127,839
Output 2.3 Selected MRC organisational systems strengthened	774,849	353,052	178,449	178,449	162,576
Output 2.4 General organisational development competencies of staff of MRC are strengthened	616,361	164,774	167,216	185,531	162,942
Output 2.5 Core training programme for new staff is established and implementation coordinated	409,035	122,711	122,711	48,230	115,385
Output 3.1 MRC gender strategy and policy mainstreamed into MRCS systems, procedures & guidelines	225,330	54,945	56,055	57,165	57,165
Output 3.2 Gender Responsive approaches are mainstreamed into the MRC sectoral programmes	114,330	26,640	28,305	29,970	29,415
Output 3.3 Gender responsive capacity of the NMCSs and the prioritised national agencies is developed	324,120	79,365	80,475	81,585	82,695
Output 4.1 MRC capacity building planning, information management, coordination and M&E system is established	268,620	86,386	61,966	66,239	54,029
Output 4.2 National capacity building plans prepared and implementation monitored by NMCSs	821,000	186,935	211,355	211,355	211,355
Output 4.3 Lessons learned on capacity building documented & disseminated	65,201	26,984	14,652	14,652	14,652
Output 4.4 MRC programmes supported with capacity building methodological advice	40,049	8,486	8,486	8,486	8,486
Output 4.5 Capacity Building Materials repository is established	88,400	22,100	22,100	22,100	22,100
Output 4.6 A regional network of training & education institutions is established to support long-term sustainable CB .	259,585	65,568	63,858	60,195	69,963
Output 4.7 Effective and efficient programme management and communication	389,133	99,878	101,099	98,046	90,110
<b>Total</b>	<b>7,792,658</b>	<b>2,188,088</b>	<b>1,996,790</b>	<b>1,877,909</b>	<b>1,891,285</b>

<sup>6</sup> Programme planning to the activity level is indicative and will be further developed in the Programme Implementation Plan (PIP).

#### Annex 4: ICBP Risk and Risk Management Strategies at Output Level

Objective	Risks	Risk management
MRC, NMCs and prioritised national agencies demonstrate an increased level of capacity to contribute to MRC objectives.	1) Adequate funding for ICBP is not secured to provide for the comprehensive implementation of the planned outputs.	1.1) Involving more than one development partner in support of ICBP is highly important to achieve full funding of the programme. 1.2) If full funding is not achieved, there is scope to adjust the priority activities to the available budget and to delay implementation of activities until funding is available.
	2) Insufficient high-level commitment to capacity building by senior management.	2.1) To ensure high-level commitment to capacity building, the CEO will Chair the Steering Committee, one Division Director will also be a member as will senior representatives from the NMCSs.
	3) The target organisations will not have the appropriate non-HR resources in place to deliver on their mandates, and the necessary political will does not exist to enable the institutions to function effectively.	3.1) ICBP's initiatives on leadership should support efforts to develop a common vision and the appropriate strategic leadership towards achieving the goals of IWRM in the Mekong.
<b>Intermediate Outcomes</b>		
1 - MRC, NMCs and prioritised national agencies have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation.	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 and implementation	4.1) Ensuring that key leaders are supportive of the change agenda of ICBP by involving them in the ICBP Steering Committee. 4.2) Capacity building initiatives targeting executive and senior management levels. 4.3) Revisions to the HR policies and procedures which are extremely important to achieving ICBP outcomes, will be a priority.
2 - MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives.	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.	5.1) The institutional level leadership development programme will build the organisation wide support for learning. 5.2) ICBP planning must ensure appropriate integration of the capacity development of organisation level systems and individual level capacity development if capacity development is to be systematically applied to all efforts to achieve MRC objectives.
3 - Gender is mainstreamed within the MRCS and all IWRM work of the MRC, NMCs and prioritised national agencies is made gender responsive.	6) Inadequate commitment and insufficient capacity achieved in applying gender responsive development to contribute to the MRC objectives.	6.1) The involvement of high-level members in the ICBP Steering Committee should help to develop a stronger commitment to gender responsive development practices at the Senior Level of prioritised agencies and should thereby result in committed application to all plans, policies and work programmes. 6.2) Establishing a reporting process to the Joint Committee on the application of the gender strategy and policy should also provide incentives for senior management to be actively involved in gender mainstreaming and gender responsive development for IWRM.

Intermediate Outcomes	Risks	Risk management
4 - An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of MRC.	7) The capacity building planning & coordination mechanism is not sufficiently cost effective to sustain the long-term capacity building required by the MRC.	7.1) Considerable efforts will be made to ensure that the mechanism is well-designed, easy to use and is integrated into the existing systems of the MRC to ensure sustained capacity building to contribute to MRC objectives.
<b>Intermediate Outcome 1 &amp; Associated Outputs</b>		
1 - MRC, NMCs and prioritised national agencies have the necessary technical competencies to integrate IWRM principles into policy making, planning and implementation.	8) Excessive expectations of ICBP to target large number of beneficiaries in the relevant national line agencies.	8.1) ICBP has established a maximum target of 550 direct beneficiaries and will work closely with the NMCSs in each country to clearly define positions in each of the relevant national agencies to be targeted. This process is already underway.
	9) ICBP activities exceed the absorptive capacity of the recipient organisations and individuals are overwhelmed. (This risk is applicable to Outcomes 1-3)	9.1) ICBP will carefully prepare annual work plans to ensure an appropriate balance of intervention with the various agencies. 9.2) Long-term comprehensive capacity building processes will be designed to enable target beneficiaries to incorporate capacity building into their work schedules. To accommodate this, training through workshops will only form one part of the capacity building approach.
	10) Poor advance coordination and planning with the programmes may lead to exceedingly high expectations of ICBP or poor working relations.	10.1) Strong coordination and communication skills are key competencies required of the ICBP coordinator and all programme officers in the team and these skills combined with a well-planned and executed planning process. 10.2) Coordination with the programmes must be through coordinators who have authority to make decisions and with whom there can be clear definition of the roles and responsibilities of ICBP and the programme when designing and implementing collaborative activities. 10.3) In addition, one of the remaining team members to be recruited to ICBP will have a good working knowledge of IWRM.
	11) The hosting of junior professionals by the programmes causes frustration due to high workloads or poor matching of JRPs to programmes.	11.1) Careful selection of JRPs with application of strict criteria to English proficiency and clarity of work plans to be achieved during the on-the-job training combined with careful monitoring of the performance of the JRP on a routine basis is essential. In addition, ICBP must clearly respect the views of the programmes with regard to their capacity to host JRPs.
	12) The SLP phase III may not match the priorities of re-oriented MDBA & may be poorly integrated into ICBP implementation.	12.1) ICBP will work closely with the team at MDBA to review the project design and to prioritise the scope of the work plan and to ensure the project d is fully integrated to all aspects of ICBP.

Intermediate Outcome 1 & Associated Outputs	Risks	Risk management
	13) The absorption capacity of the programmes for JRPs and interns is exceeded.	13.1) Close consultation and planning with the programmes to accommodate JRPS and interns and a maximum of four interns per year.
	14) Work exchanges between the various agencies such as the NMCSs & prioritised national line agencies are not structured sufficiently well to ensure maximum learning.	14.1) Trial the process of work exchanges very carefully with one or two exchanges as a basis for developing more comprehensive guidelines and learn from the experience of earlier exchanges.
Intermediate Outcome 2 & Associated Outputs		
2 - MRC and NMCs (including their Secretariats) have the necessary organisational capability to effectively coordinate and support the achievement of MRC objectives.	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 of staff on a performance basis.	15.1) The 29 <sup>th</sup> JC has provided approval for the revision of the human resource policies of the MRC and work is beginning on this process. 15.2) ICBP must fully engage in the revision process to ensure the relevant revisions are provided and ensure appropriate consultation to support acceptable revisions.
	16) Insufficient high-level support for change management processes initiated under ICBP are established and maintained throughout the programme, in particular when the new riparian CEO is assigned in 2011.	16.1) The leadership and management workshops facilitated under the 2008-2009 document have established a basis for a longer-term sustained intervention to address leadership and management competencies at the executive level and at programme management level. It is vital that these efforts are a primary focus for ICBP from the outset of the programme. 16.2) Fully involving the CEO, a representative of director level and appropriate representatives from the countries to the ICBP Steering Committee is an important strategy for the ICBP change agenda to have support at both the MRC Secretariat and at National level.
	17) 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).	17.1) Addressing the organisational development aspects will be a priority for ICBP and the appropriate balance of efforts will be applied to the organisational and individual levels in each annual workplan. 17.2) Comprehensive capacity building processes will be designed and developed to address the various aspects of organisational systems addressing both the organisational development required and the capacity building processes at individual levels (e.g. Programme cycle management capacity development requires ICBP involvement with the revision of the MRC manual, collaborative efforts with ICCS and TCU to ensure that the manual is made available and consistently applied in addition to using various capacity building tools to ensure that relevant staff are integrally familiar with the programme cycle management and the manual). 17.3) One of the remaining team members to be recruited to ICBP will have a background in capacity building in organisational development.

<b>Intermediate Outcome 2 &amp; Associated Outputs</b>	<b>Risks</b>	<b>Risk management</b>
	18) Resistance to involvement in more contemporary capacity building approaches	18.1) Capacity building approaches are carefully piloted and lessons shared widely. Appropriate approaches will be used with the various target groups.
	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.	19.1) The allocation of time for capacity building will be addressed clearly in the revised HR policies and procedures.
<b>Intermediate Outcome 3 &amp; Associated Outputs</b>		
3 - Gender is mainstreamed within the MRCS and all IWRM work of the MRC, NMCs and prioritised national agencies is made gender responsive.	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.	20.1) The ICBP Steering Committee will involve senior management in oversight of efforts to mainstream gender and will provide ICBP with the mandate to work with the various Sections and Units to ensure that gender is appropriately incorporated into the organisation systems and procedures and that there is sufficient oversight to ensure the application. 20.2) A requirement to report to the JC on the application of the gender strategy and policy provides an additional incentive for senior management to be actively involved in gender mainstreaming within MRCS and in making all IWRM work gender responsive.
	21) Efforts to mainstream gender in the MRCS programmes fail to be reflected in the implementation of activities with the prioritised national agencies.	21.1) A well planned process of piloting gender in the programme cycle with a number of the MRCS programmes and systematic scaling out of the appropriate processes.
	22) Efforts to make all IWRM work of the NMCs and relevant national agencies is confused with efforts to mainstream gender across those agencies.	22.1) A clear focus of ICBP on the intended outcome is required to ensure that efforts are correctly focused and that efforts are balanced towards the three outputs in addition to ensuring that the national level agencies are clear on the objectives of the collaborative work with the ICBP gender component.
<b>Intermediate Outcome 4 &amp; Associated Outputs</b>		
4 - An effective integrated and sustainable capacity building mechanism is established and functioning to support the work of MRC.	23) The mechanism to support the planning, information management, etc is poorly conceived at the outset and requires multiple revisions and adjustments.	23.1) Sufficient consultation, review of similar systems in other institutions and internal discussions will take place prior to agreeing on the various aspects of the proposed mechanism. 23.2) The system will be made as user-friendly as possible to ensure that it can be used by programmes and national agencies and that it should be a cost effective mechanism.



Intermediate Outcome 4 & Associated Outputs	Risks	Risk management
	24) Challenges arise with linking the ICBP results-based monitoring and evaluation process to the MRC.	24.1) ICBP is one of the pilot programmes for the development of the results-based M&E system within the MRC and it is essential to retain very close links with the organisational level system to ensure that the ICBP M&E process avoids duplication of efforts and achieves a cost effective level of operation.
	25) Insufficient efforts are provided to support the planning and implementation of national level capacity building plans.	25.1) ICBP will allocate adequate staff resources to support the process at the national level and each country will receive the required levels of support.
	26) Lessons are learned for individual activities but are poorly applied to new activities	26.1) The programme incorporates lessons learned and adaptive responses as an aspect of all six monthly reports.
	27) Demand for capacity building services is not sustained because of insufficient staff resources within ICBP.	27.1) Staff performance is well managed by the programme coordinator and workloads are monitored. If additional staffing resources are required for the programme, this will be raised with the Steering Committee.
	28) The process of reviewing CB materials to be uploaded to the electronic repository is excessively time-consuming to address quality control measures	28.1) A process for quality control of all materials to be uploaded will be developed in accordance with ICCS and IKMP and will be applied to make the system as efficient as possible.
	29) Insufficient interest of the training institutions and universities in participating in a regional capacity building network.	29.1) Preliminary meetings have taken place with a number of institutions in each of the countries during the preparation of the programme document and strong interest has been expressed in the initiative. It is important that ICBP develop an efficient electronic mechanism of sharing information and experiences across the network and to host periodic events in order that the benefits of the network motivate continued active involvement. 29.2) The network is linked to larger efforts at the international level so that experiences from outside the region are also quickly entering the network.
	30) ICBP management is inadequate to cope with the complexity and scale of the programme.	30.1) Recruiting and retaining a highly qualified and experienced programme coordinator is essential to the effective implementation of the programme. The qualifications for the position have been revised to recognise this experience with programme management. 30.2) Developing and maintaining a strong ICBP is recognised as a key factor in the success of the programme as familiarity with the team members of the MRC will greatly benefit the implementation of the programme.

Intermediate Outcome 4 & Associated Outputs	Risks	Risk management
	<p>31) The normal risks associated with significant financial management, procurement of services and contracting apply to this programme.</p>	<p>31.1) AusAID has recently undertaken a fiduciary risk assessment/procurement diagnostic of the MRC and key gaps identified in this assessment are being addressed. ICBP financial management, procurement and contractual arrangements will be in accordance with all MRC procedures and all efforts will be made to ensure that they comply with AusAID requirements.</p> <p>31.2) The programme will plan capacity building processes in order to tender appropriate packages of services and to avoid excessive tender of small initiatives which result in few submissions to the tenders.</p>

## Annex 5: SWOC Analysis of Capacity Building Context in the MRC

Strengths	Weaknesses
<ul style="list-style-type: none"> <li>• Commitment from the member countries to achieve full riparianisation as set out in 2007 roadmap.</li> <li>• The mandate for capacity building is clear from the current Strategic Plan, the OR, MTR of the SP and the Riparianisation road map. The 2003 ITSP provides the guidance for the current ICBP initiative.</li> <li>• ICBP has been established within the HRS to focus on HR development including the capacity building required to further develop the human resource management of the MRC. The ICBP management team has been established and most positions are in place, including national ICBP coordinators in each of the four countries who are involved in all ICBP-related activities at the national level.</li> <li>• The process of gender mainstreaming in the organisation during the GMP Phase I and II has established an extensive regional network involved in building capacity for gender responsive development within IWRM.</li> <li>• The percentage of riparian consultants involved with MRC work is increasing.</li> <li>• Capacity building has been initiated in the NMCs and the line agencies both through the capacity building work of the programmes, of ICBP Step 2 and with funds from the annual operational expenses budget.</li> </ul>	<ul style="list-style-type: none"> <li>• The present level of professional capacity creates challenges for the MRC to achieve riparianisation and to accomplish its mission. Contributing to the challenge of professional capacity within the MRC and NMCs, is the short timeframe of the MRCS professional contracts and the failure to ensure that knowledge and skills are transferred.</li> <li>• Limited capacity building for core organisational capacities has been provided under operational expenses budget but this has been insufficient to address all the needs. Additional resources are required to address the capacity building needs at the national level in particular.</li> <li>• Capacity building, implemented across the programmes is not coordinated by any one central unit and as a result there is scope for overlap and areas which are omitted. In addition, the programmes and countries are challenged to plan ahead to plan participants for each of the various activities.</li> <li>• The staff training database has been operated but not sufficiently well to ensure that the relevant data has been entered and to address quality at entry level. Information on the priority positions and staff in the line agencies in each of the countries involved in MRC work is not centrally managed.</li> <li>• Capacity building materials developed by the programmes are not systematically shared across the organisation.</li> <li>• The current HR policy does not provide clear requirements or motivation for staff with regard to CB. A very brief orientation process is provided for new staff joining the MRC with no compulsory courses/modules for working with MRCS, e.g. programme-cycle management, IWRM &amp; gender.</li> <li>• Included in the competency shortfalls which have been identified is the lack of capacity for HRD planning and to assess competencies and performance which can provide for clearer and more specific assessments of CB needs to improve performance. Exchange of knowledge and experience on HR related matters is currently not shared amongst the members of the MRC.</li> <li>• The GMP has had significant achievements during phase I and II, but mainstreaming gender requires considerable effort to ensure that gender responsive development practices are applied across the organisation, by the networks and to promote greater gender involvement in IWRM. The overall budget available to GMP has been limited at the national level.</li> <li>• The sustainability of capacity building approaches has not been adequately addressed, examples include limited follow-up on learning outcomes from training courses, limited effort in training of trainers and development of materials into national languages, and limited involvement in electronic learning approaches.</li> </ul>

Opportunities	Challenges
<ul style="list-style-type: none"> <li>• Extensive capacity building is incorporated into the programmes – BDP on IRBP, FMMP, component 3 &amp; aspects of component 2 &amp; 5, IWRM, AIFP/WSM, IKMP are some of the examples and these programme capacity building initiatives are based on comprehensive training needs assessments. Tools and materials have been developed which are available to ICBP.</li> <li>• A number of current capacity building methodologies used within the MRC provide opportunities for learning lessons and upon which experienced ICBP can further build. Examples include the on-the-job training for young professionals through the Junior Riparian Professional Project, the Associate Modeller process, the emphasis on learning by doing within BDP Phase II and the IRBP ToT in BDP/ICBP.</li> <li>• Electronic infrastructure is now well-established at the MRCS and NMCSs to enable electronic learning approaches to play a greater role in the capacity building process and to enable staff to participate in learning networks, communities of practice, and other e-tools</li> <li>• The results-based monitoring system currently under development for the MRC provides the overall framework within which outcomes from capacity building will be assessed.</li> <li>• Some strong collaboration has already been established for IWRM between member countries and international agencies and it is important to further build on and to sustain these relationships for the long-term capacity building of the MRC.</li> <li>• A high level of interest is indicated by the higher education institutes, regional and national training centres for collaboration on capacity building – by collaborating with these institutions to help develop their capacity, MRC will be investing in longer-term capacity building for staff joining NMCs and MRCS.</li> <li>• The development partners have indicated their commitment to address the most urgent capacity building needs to support the riparianisation process.</li> </ul>	<ul style="list-style-type: none"> <li>• The short time frame within which riparianisation is to be achieved places greater emphasis on the capacity building requirements.</li> <li>• As staff finish their assignments at MRCS and return to work with Government offices at national level, few remain involved in Mekong-related work. Retaining links with this expertise is important for the future work of the MRC.</li> <li>• Integration and coordination of the capacity building efforts of the programmes and NMCs will require considerable time and effort to achieve organisation-wide capacity building plan, with clear objectives, process, materials, outcome assessment process and allocated budgets.</li> <li>• Limited links have been established with education institutions, national level training service providers and other relevant networks including NGOs and RBOs for capacity building purposes.</li> <li>• Developing a mechanism and plan for sustaining capacity building for the long term.</li> <li>• Building flexibility into ICBP documents to respond to the needs of new staff, the various needs of the countries and new emerging issues/themes and the work of the new strategic plan from 2011.</li> <li>• The quality of capacity building delivered for a diverse group of multi-cultural, multi-professional (in organisational development capacity building activities) and multiple learning styles.</li> </ul>

## **Annex 6: List of MRC-related Line Agencies in the Four Riparian Countries**

### **Cambodia**

Ministry of Water Resources and Meteorology  
Ministry of Agriculture, Forestry and Fisheries  
Ministry of Foreign Affairs and International Cooperation  
Ministry of Public Works and Transport  
Ministry of Environment  
Ministry of Planning  
Ministry of Industry, Mines and Energy  
Ministry of Rural Development  
Ministry of Land Management, Urban Planning and Construction  
Ministry of Tourism  
Ministry of Women Affairs

### **Lao PDR**

Water Resources and Environment Administration, WREA  
Ministry of Agriculture and Forestry  
Ministry of Industry and Commerce  
Ministry of Planning and Investment  
Ministry of Foreign Affairs  
Ministry of Public Works and Transport  
Ministry of Public Health  
Ministry of Energy and Mines  
Lao National Tourism Administration  
Ministry of Information and Culture  
Ministry of Education

### **Thailand**

Ministry of Natural Resources and the Environment  
Ministry of Agriculture and Cooperatives  
Ministry of Energy  
Electricity Generating Authority of Thailand (EGAT)  
Ministry of Transport  
Ministry of Information Technology and Communication  
Ministry of Foreign Affairs

### **Viet Nam**

Ministry of Agriculture and Rural Development  
Institute for Hydro-Meteorology  
Southern Hydraulic Research Institute  
Ministry of Fisheries  
Ministry of Transportation  
Ministry of Natural Resources and Environment  
National Environmental Agency

## **Annex 7: Summary of Knowledge, Skills & Attitudes and Institutional CB Activities for MRC**

(As identified by NMCS in 2008 and validated in 2009)

### **Knowledge areas:** (cross-cutting themes only)

Knowledge of integrated water resources management (but more practical)  
IWRM  
Social & Economic Impact Assessment  
Gender Analysis  
Environment management and its tools  
Environmental Impact Assessment/ Strategic Environmental Assessment (EIA/SEA) (EP, BDP of MRCS)  
Trans-boundary water resource management  
International and regional laws and regulations in water resources management  
Water resource planning  
Water resource conflict management  
Climate change and adaptation.

### **Skills and attitudes:**

Organisational development and organisational change management  
Strategy formulation  
Project, programme planning and management, and proposal development  
Project financial management, procurement and contract management  
Human resource management,  
Office management  
General management skills  
Communications  
English proficiency, both spoken and written  
Computer, IT  
Electronic networking tools  
Report writing  
Facilitation, includes negotiation and conflict resolution  
Meeting facilitation skills and making presentations  
Public/stakeholder participation in decision-making processes  
Gender and empowerment in development programmes/projects  
Negotiation and Mediation  
Conflict prevention and resolution  
Political and cultural sensitivity  
Cross-cultural communication  
Working attitudes: leadership, and accountability, team work and team spirit.

### **Institutional development:**

Accelerate building human capacity to be ready for riparianisation  
Set up result-based monitoring and evaluation systems for capacity activities  
Set up staff training database, including monitor or follow-up progress of trainees after training  
Set up database training providers, regional and national levels  
Improve HR policy  
Provide opportunity for exchange of resource persons, coaches or experts among member countries  
Implementation of Internship project  
Continue Gender mainstreaming project but more integrated in other programmes  
Continue the JRP.