



# ICIMOD Quinquennial Review

FINAL Report

---

Prepared for // ICIMOD Support Group  
By // Julian Gayfer / Mandakini Surie / Sagar Prasai / Sheelagh O'Reilly  
Date // 17 September 2021

IOD PARC is the trading name of International Organisation Development Ltd

Omega Court  
362 Cemetery Road  
Sheffield  
S11 8FT  
United Kingdom

Tel: +44 (0) 114 267 3620  
[www.iodparc.com](http://www.iodparc.com)



# Acknowledgements

The IOD PARC Quinquennial Review (QQR) team would like to thank ICIMOD staff for their engagement during the whole of the QQR, both through virtual meetings, completion of the staff survey and the preparation / sharing of documentation in such a timely manner.

The team would like to thank the members of the ISG QQR team for freely giving of their time for weekly meetings to discuss issues such as amendments to the workplan timing, Covid-19 restrictions, and technical issues. These regular meetings were important given the speed of the QQR and the totally on-line approach.

The IOD PARC QQR team would like to thank partners, Regional Member Country board members, Programme Advisory Committee and ICIMOD Support Group and other key informants for their time for detailed and thought-provoking discussions.

## Version Note

### **VERSION NOTE**

This document is the Final report and has incorporated comments received from the ISG, PAC and Board Members from meetings held w/c 6 September.

## Quinquennial Review: Team Independence

### **Statement of Independence**

This report including findings, analysis, recommendations and conclusion are those of the IOD PARC QQR. The team are independent of ICIMOD, the ISG and the ICIMOD Board of Governors and whilst comments have been received, and acted on in many cases, the work remains that of the team itself. The recommendations are for consideration by ICIMOD, and others, and may be adapted to suit future work on the Strategy and the MTAPV.

The work was undertaken against the Terms of Reference in Annex 18 and bounded by the resources as agreed in the Contract.

# Table of Contents

Acknowledgements	ii
Version Note	ii
Quinquennial Review: Team Independence	ii
1. Executive Summary	1
Key Findings	2
GESI	3
Review Matrix Summary	4
Conclusion and Recommendations	4
2. Introduction	5
a. Review purpose	5
b. Agreed Modifications to the ToRs	5
c. Review Progress Monitoring and Limitations	6
Limitations	6
d. Users of the Review and possible communication process	6
3. Outline of methodology	7
a. Review work plan	7
b. Review matrix	7
c. Data collection methods / tools	7
Key Informant Interviews / Focus Group Discussions / Sense-making	8
On-line surveys	8
Document Analysis	8
Analysis and synthesis	9
Report preparation and finalisation process	9
4. Context Analysis	10
Geopolitics of the HKH region	10
Institutional vacuum in regional cooperation	10
Funding environment	10
The regional value of the Call to Action	11
Positioning to support the CtA or CtA-like activities.	11
Impact of the Covid-19 pandemic	12
Learning from other regional initiatives	12
5. Organisational Effectiveness	14
Strategic management	14
Operational management	16
Relationship management	17
Performance management	21
Organisational effectiveness - conclusion and looking ahead	22
6. GESI	23

Approach	23
Key Findings for GESI in the HKH	23
GESI – conclusion and looking ahead	26
<b>7. Results and Impact</b>	<b>28</b>
Strategic Result Framework for MTAPIV	28
ICIMOD and Impact Measurement	30
Understanding Baselines for attribution of results and impacts	32
Using Evidence – including evaluation data	32
From Capacity Building to Joint Learning?	33
Results and Impact: Enhancing ICIMOD as a Regional Mountain Knowledge Service	34
Knowledge Management for the future?	35
<b>8. Review Matrix Analysis</b>	<b>38</b>
Relevance (Matrix questions 2.2.3 / 2.2.5/2.2.6/2.3.8)	38
Coherence (Matrix questions 2.2.7 / 2.4.1 / 2.4.2/2.5.3)	38
Effectiveness (Matrix questions 2.2.1/2.3.2/2.3.3/2.3.5/2.5.2)	39
Efficiency (Matrix questions 2.2.4 / 2.3.6 / 2.3.7)	40
Impact (Matrix questions 2.2.2/2.2.4(1)/2.2.4 (2)/2.4.3/2.5.1)	40
Sustainability (Matrix questions 2.3.1 / 2.5.4/2.6.1/2.6.2/2.6.3/2.6.4/2.6.5)	41
<b>9. Conclusion and Recommendations</b>	<b>42</b>
Assessment of the performance of MTAPIV to date	42
Framing the future	43
Strategic Positioning of ICIMOD	43
Recommendations for Strategy and MTAPV	44
Recommendations for MTAPIV Implementation to 2022	49
<b>Annex 1: Support material for QQR Methodology</b>	<b>52</b>
Survey questionnaires	52
Partner Survey	52
Staff Survey	52
Organisational Effectiveness Guide	53
People interviewed during Inquiry Phase	53
Presentations made during QQR	59
List of QQR Management meetings	59
<b>Annex 2: Criteria for confidence determination and use in decision making.</b>	<b>60</b>
<b>Annex 3: Review Matrix Summary</b>	<b>61</b>
<b>Annex 4: Supporting Material for Results and Impact Analysis</b>	<b>65</b>
<b>Annex 5: EU Science Hub: a learning companion for ICIMOD?</b>	<b>78</b>
Potential lessons for ICIMOD?	79

Annex 6: Initial mapping of ICIMOD’s work to CTA 9 Mountain Priority SDGs _____	80
Annex 7: ICIMOD Organisational Effectiveness Analysis _____	89
Organisational Effectiveness: Status Analysis _____	96
Strategic Management _____	97
Operational Management _____	97
Relationship Management _____	98
Performance Management _____	99
Annex 8: A Financial Strategy – points for consideration. _____	100
Annex 9. ICIMOD Gender Audit 2021 - Recommendations _____	104
Annex 10: ICIMOD Partnership Analysis _____	107
Methodology and limitations _____	107
Findings _____	108
ICIMOD AND PARTNERS _____	108
ICIMOD AND RMCs _____	112
Strategic engagement with RMCs needs strengthening _____	112
Conclusion and Recommendations _____	113
Annex 11: Partner Survey Select Responses _____	116
Annex 12: QQR5 2016 Recommendations: Current Status _____	118
Annex 13: A <i>Possible</i> revised structure for ICIMOD _____	122
Key points informing the proposal: _____	122
Annex 14: Short analysis of Arctic and Mountain institutions _____	125
Annex 15: Critical evidence from Staff Survey _____	127
Staff Demographics _____	127
Capacity Building - Internal _____	128
Partnerships _____	129
Results and Impact _____	130
ICIMOD Organisational Effectiveness _____	131
GESI _____	133
Annex 16: Results / Impact 4 cases _____	135
Case 1: HKH Assessment and Call to Action Process _____	135
Introduction _____	135
Process Comments _____	135
Going forward? _____	136
Conclusion _____	137
Case 2: Renewable Energy and Energy Efficiency Capability for the Hindu Kush Himalaya (REEECH) _____	139
The case for Sustainable Energy in the HKH? _____	139
ICIMOD as regional intergovernmental organisation and REEECH _____	140
Comments on process to date _____	140

Conclusion	141
Case 3: The Dasgupta Review and Influence of SANDEE	146
The Economics of Biodiversity: The Dasgupta Review and the South Asian Network for Development and Environmental Economics (SANDEE)	146
Key Lessons from SANDEE	147
Case 4: Impact Monitoring, Scaling and Policy Influence	149
Introduction	149
ICIMOD Impact, Innovation and Scale up	150
Scaling up / out Innovation	150
Annex 17: Bibliography	153
Annex 18: ToRs for QQR and any modifications agreed.	158
Terms of Reference as per proposal stage	158
Post Proposal amendments to the Terms of Reference	158
Annex 19: Final Workplan	159
Annex 20: Acronyms	160

## List of Figures

#	Description	Page
5.1	ICIMOD partners by RMC – MTAPIV	18
7.1	Importance of ICIMOD 3 strategic impacts to different levels (compiled from staff survey).	31
A4.1	An Approach to incorporation of Systematic Review evidence into the ICIMOD Project Cycle (where appropriate).	75
A4.2	Nested result hierarchy from intervention to regional impact	76
A4.3	ICIMOD Multi-layered evidence and results framework	76
A4.4	Possible redesign for Regional Programme / Initiative Summary	77
A10.1	ICIMOD partners by RMC under MTAPIV	108
A13.1	A Possible revised structure for ICIMOD?	123

## List of Boxes

#	Description	Page
4.1	HKH Assessment, Call to Action and Ministerial Declaration	11
5.1	Typology of ICIMOD partners	18
6.1	HKH Call to Action – Urgent actions	23
7.1	Direct and Indirect Beneficiaries (From ICIMOD MEL Framework for MTAPIV (2018))	30
7.2	Evidence impact: Seven ways that development decision makers use evidence	32
7.3	Joint Research Centre (JRC) – EU Science Hub	34

<b>7.4</b>	Open Data, research protocols and building trust	<b>35</b>
<b>7.5</b>	Developing a Regional Mountain Knowledge Service	<b>35</b>
<b>7.6</b>	Ten tips for overcoming language barriers in science	<b>37</b>
<b>9.1</b>	Adaptation Fund	<b>42</b>
<b>A10.1</b>	Typology of ICIMOD partners	<b>107</b>
<b>A16.1</b>	UNIDO's Aim for GN-SEC	<b>138</b>
<b>A16.2</b>	Differentiating Academic and Policy Impact	<b>150</b>

## List of Tables

<b>#</b>	<b>Description</b>	<b>Page</b>
<b>3.1</b>	Review phases, dates and deliverables	<b>7</b>
<b>3.2</b>	Summary of Key Informant / Focus Group Discussion undertaken	<b>8</b>
<b>5.1</b>	Summary of ICIMOD Staff numbers (May 2021)	<b>16</b>
<b>5.2</b>	Number / class of ICIMOD staff, based on response to staff survey	<b>16</b>
<b>5.3</b>	ICIMOD partnerships under MTAPIV by Initiative/RP and arrangement type	<b>19</b>
<b>5.4</b>	ICIMOD possible comparative advantage in implementing projects / programmes	<b>22</b>
<b>7.1</b>	Comparing regional and transboundary initiatives	<b>29</b>
<b>7.2</b>	Understanding Demand (who, what, when and response mechanism)	<b>36</b>
<b>A1.1</b>	Summary of Number of Staff Responses to QQR Survey	<b>52</b>
<b>A1.2</b>	List of people interviewed (KII / FGD)	<b>53</b>
<b>A4.1</b>	Mapping RP outcomes to Strategic Results (over 3 pages)	<b>64</b>
<b>A4.2</b>	Regional Programme Budget / timeframes	<b>69</b>
<b>A4.3</b>	Contribution by Regional Programme to the MTAPIV Strategic Results	<b>71</b>
<b>A4.4</b>	Evaluative studies (all types) undertaken during period of MTAPIV - to date (May 2021) - for ongoing and closed projects	<b>73</b>
<b>A7.1</b>	Detailed lines of inquiry for Organisational Effectiveness	<b>88</b>
<b>A7.2</b>	Meeting number cross reference and questions	<b>93</b>
<b>A8.1</b>	Financing source, focus use and points for consideration	<b>100</b>
<b>A10.1</b>	ICIMOD partnerships under MTAPIV by Initiative/RP and arrangement type	<b>108</b>
<b>A12.1</b>	QQR6 comments on issues raised by QQR5	<b>117</b>
<b>A12.2</b>	QQR5 Recommendations, narrative, and status at QQR6	<b>118</b>
<b>A13.1</b>	Comparing regional and transboundary programmes	<b>122</b>
<b>A16.1</b>	Types and form of ICIMOD impacts (not exhaustive)	<b>150</b>
<b>A16.2</b>	Time to Market for different industries	<b>152</b>

# 1. Executive Summary

## Review Purpose and Timing

The ICIMOD Quinquennial Review (QQR) has been designed, as per the Terms of Reference to 'provide both accountability to the Board of Governors (BOG), ICIMOD Support Group (ISG), regional partners and mountain communities at large, and to strengthen ICIMOD's functioning based on the conclusion and recommendations of the review'. The review covers the Medium-Term Action Plan: IV period 2018 – 2022 (MTAPIV) and:

1. Assesses the performance of ICIMOD based on its approved Strategy and Results Framework in terms of relevance, coherence, effectiveness, efficiency, impact, and sustainability of results
2. Provides recommendations on how ICIMOD can improve its Strategy and Results Framework and to support the thinking and design of MTAPV

The QQR focused on examining past and current performance and organisational effectiveness whilst considering alternative options within the Hindu Kush-Himalaya (HKH) context and changing global priorities, for the purpose of guiding ICIMOD's strategic direction. The QQR commenced on 10<sup>th</sup> May and was completed at the end of September 2021. The QQR took place virtually due to Covid-19 restrictions.

## Defining the QQR Approach and Tools Used

IOD PARC's approach to the QQR combined three inquiry areas across the inception, inquiry and reporting phases:

1. Examination of ICIMOD's **organisational effectiveness**
2. **Robust analysis of results and impacts** achieved to date
3. **Analysis of ICIMOD's operational and regional context**

These three inquiry areas were linked to the QQR review questions focused on the OECD-DAC criteria. Four areas received additional attention during the inquiry phase: Gender and Social Inclusion (GESI), Partnerships, Knowledge Management and Communication (KMC), and the MTAPIV 'Operational Matrix', linking Regional Programmes and Themes. The team used a unified set of tools such as interviews with ICIMOD BOG/ISG/Senior staff, partners and organisations; online surveys tailored to staff and partners in a targeted manner; document analysis from ICIMOD and beyond; 'Sense Making' meetings with key stakeholders held virtually; and a virtual analysis session.

## Management of the QQR

The IOD PARC QQR team had weekly meetings with various members of the ICIMOD Support Group (UK, Norway, Sweden), as well as the head of SPME as a liaison with ICIMOD, who were overseeing the QQR. Initial findings were shared with the ISG on 23<sup>rd</sup> July and the first draft report submitted on 4<sup>th</sup> August. A presentation to the ICIMOD Programme Management Committee was made on 9<sup>th</sup> August. The comments received were used to prepare a revised draft submitted on 20<sup>th</sup> August. The key findings and recommendations of the QQR were presented to the Board and the ISG on 6<sup>th</sup> September and discussed with ISG (8<sup>th</sup> September) and Programme Advisory Committee (9<sup>th</sup> September). Based on comments received a final report was prepared and submitted on 17<sup>th</sup> September.



## Key Findings

### Context

The HKH region has several geopolitical hotspots particularly in high mountain areas, and some HKH countries have suffered extended political instability over the last 30 years. In a geopolitically challenging region, **ICIMOD's importance as a neutral convener on a variety of sustainable mountain development issues has continued to grow.** ICIMOD is also uniquely positioned to promote regional cooperation where other regional institutions and platforms have not performed well. ICIMOD's regional reputation as a science organisation and its continued effort to expand knowledge services have **further strengthened its comparative advantage.** In the short-term it faces the challenge of maintaining fund flows and ground-level effectiveness with the Covid-19 pandemic disrupting operating space and donor budgets. With the **HKH Call to Action**<sup>1</sup> in place, it has now developed a significant and promising platform to further build its regional cooperation portfolio and assert its policy presence within the region. To achieve this in the next 5-7 years, ICIMOD must deepen its relationship with counter-part agencies in the regional member countries (RMCs), understand their policy processes more deeply, and expand its funding sources.

### Organisational Effectiveness

**Overall, ICIMOD is a well-functioning organisation with core strength, coherence, and stability across its different functional areas.** It is now operating (partly through its own success) in an environment and context that demands a higher bar in organisational effectiveness. **Moving into the MTAPV period ICIMOD needs to reset some specific aspects of its strategy, structure, systems, and organisational culture and to ensure that it is equipped to reach the 'higher bar' of performance that the framing of the Call to Action demands and the global community is looking for in the region.** Central to this will be re-shaping the organisation whilst protecting the core strength and providing the space and capacity for agility in ways that support ICIMOD to deploy its comparative advantage more purposefully across different types of initiative areas.

**Under MTAPIV, ICIMOD's consolidated list of partners shows a total of 119 unique partners and 144 partnership arrangements with a mix of strategy, policy, knowledge, research, and implementation partners that are spread out across the RMCs.** There is a need to consider more carefully the relationship with the RMCs and the ability to work collegiately with strategic partners especially regarding scaling up, ensuring sustainability of capacity and monitoring processes, and achieving impact for mountain communities.

### Results and Impact

The current structure of ICIMOD (based on the MTAPIV Operational Matrix) has six Regional Programmes (RP) and four Thematic Areas. Not all regional programmes have the same operational characteristics, with three being 'on the ground' and three being data monitoring and management focused. Whilst the current Strategic Results Framework (SRF), MTAPIV, and ICIMOD's website give primacy to Regional Programme discussions, ICIMOD staff highlight the challenge of the current approach for Thematic Inputs (and Knowledge Management and Communication results). **The RP focused structure does not draw out how results are achieved, methodological challenges, or the multi-disciplinary nature of the work.** However, the QQR does find that despite Covid-19, **the existing SRF is**

---

<sup>1</sup> Ministerial Declaration ( 15 October 2020) of the eight Hindu Kush Himalayan countries who agreed the six urgent actions of the Call to Action. These actions are informed by the earlier HKH Assessment and encompass regional cooperation, voice of mountain people, accelerated climate action, mountain priorities of the SDGs, biodiversity loss and regional data. Actions are tailored at local, national and – critically for ICIMOD – regional level and reflect collective ownership by the eight Hindu Kush Himalayan countries and actions at multiple scales allied to resilient recovery from Covid-19.

**generally on track.** Two areas which will require attention in 2022 are a focus on policy work, and the publication of disaggregated data at Strategic Result level (where available).

Over the time of the MTAPIV, ICIMOD has **increased its attention to the issue of impact measurement**, however further attention is required around setting initiative baselines (more than context analysis) and the overall process – and resources – to enable ‘proof of concept’ work alongside broader understanding of institutional influence and impacts.

**ICIMOD has a positive track record on capacity building**, but more recent work has shown, for example SWaRMA, that a broader process approach is required. This would help to ensure sustainability and build a wider cohort of specialists available for ICIMOD and RMC institutions. Building a **capacity enhancement and joint learning approach** could also enable greater embedding of key skills over the long term.

The current SRF indicates that ICIMOD is a ‘Knowledge Hub’, whereby both internal and external knowledge management are key priorities. These should be **linked to input from the RMCs in the co-design of strategic research questions (for MTAPV based on the CtA) and demand led research. Therefore, a heavier focus on ICIMOD as a *Regional Mountain Knowledge Service*** could see a refocus on joint learning and aid an increased institutional responsiveness with a greater focus on RMC ownership of the intergovernmental organisation. Demand led research should not compromise the independence of the science nor stop ICIMOD undertaking new research, including work that; may be classed as ‘horizon scanning’, involve work on new tools/methodologies and analysis of the utility of new data sources. It is the quality of the science and hence independence of the evidence produced that would make ICIMOD a ‘Knowledge Centre of Choice’

## GESI

The review finds that while ICIMOD has a strong commitment to gender mainstreaming and has made significant progress in integrating gender, **a more systematic integration of gender and social inclusion is needed at strategic, institutional, and programmatic level.**

**In the context of Covid-19 and its impacts in the HKH region, issues of GESI are front and centre**, and as part of the strategy MTAPV planning process it is an opportune time for ICIMOD to explore how it can engage/support RMCs more strategically and purposefully on these issues. **The HKH Call to Action fully acknowledges gender and social inclusion** and draws attention to the need for policies and actions that support greater gender equality and social inclusion in the mountain regions. The paucity of disaggregated data on GESI is a key gap identified by ICIMOD in the HKH region; data that could be critical in helping governments design more effective interventions in the mountain regions. **The QQR acknowledges that social inclusion is a complex, challenging and often politically sensitive issue in the HKH region.** In this context, a key starting point for ICIMOD is to **understand the critical social inclusion and exclusion issues that mountain communities are facing across the 8 RMCs and how these relate to/intersect with ICIMOD’s core areas and themes of work.**

The QQR acknowledges that while social inclusion, poverty reduction and alleviation, health etc., are not a core mandate for ICIMOD, **tracking data and monitoring trends in these areas can be a critical contribution as part of wider social-economic monitoring in the HKH.** The QQR work indicates that the findings for the Gender Audit and its recommendations are valid and should be considered as areas for immediate attention.

## Review Matrix Summary

OECD-DAC Criteria	Summary Statement
<b>Relevance</b>	Quality of scientific work high (less on social science). Areas of work highly relevant. Gender Inclusion receiving attention, limited data on Social Inclusion.
<b>Coherence</b>	Covid-19 paper well received and first lockdown actions highly appreciated. Future analysis of Covid-19 and ICIMOD areas of work are less clear. ICIMOD's neutrality is vital to its work, including the HKH CtA.
<b>Effectiveness</b>	SRF on track despite Covid-19. Structure doesn't enable thematic / KMC / Partner contributions to be easily identified. Institutionally admin heavy with perceived lack of transparency and donor driven.
<b>Efficiency</b>	Focus on gender is high but transformative change is limited. Social inclusion is weak and may take time. The Matrix structure is not working well and is perceived as admin heavy and lacking in transparency. Value for money broadly OK but ICIMOD needs to consider more carefully where its value lies.
<b>Impact</b>	Increased attention regarding initiative impact though less so at institutional level. KMC strategy etc., is out of date and internal knowledge management is still building. Need to differentiate relationship with RMCs from wider partnerships so that appropriate processes are in place to enable understanding of the impact pathways and levels of influence.
<b>Sustainability</b>	ICIMOD has seen increase in funding from RMCs and into Core. Ministerial Declaration on CtA is a major step forward; forward management required. A business unit/funding strategy for private sector and for 'vertical funding to ensure ability to attract suitable funding in line with ICIMOD's neutrality and core principles' required.

## Conclusion and Recommendations

**In summary:** The focus in MTAPIV on the HKH-Assessment and Ministerial process has been and will continue to be a significant opportunity for ICIMOD and the RMCs. The ongoing process will aid the RMCs in their objectives of meeting the SDGs and other international commitments through the application of evidence produced and curated by ICIMOD as the regional intergovernmental body, to context specific Sustainable Mountain Development.

**However:** Whilst ICIMOD has 'arrived' it now needs to change and further modernise its systems, processes, and functions so that it can keep pace with growing demand for its services/functions as a regional intergovernmental organisation of the HKH in the context of a rapidly evolving, operating, and funding context. The operating context will see a period of rapid change not least due to post Covid-19 recovery but also with respect to climate change, biodiversity, and opportunity for investment in livelihood development. The organisational response to these changes is the subject of the recommendations flagged below.

### For Strategy (to 2030) and MTAPV Development

<b>MTAPV: 1</b>	Design operating model and management structure for ICIMOD to deliver 'Knowledge Service' (including Ministerial Mountain Summit Secretariat) through portfolio of work
<b>MTAPV: 2</b>	Creating a dedicated business development unit
<b>MTAPV: 3</b>	Strengthening country presence in RMCs
<b>MTAPV: 4</b>	Strategic Results Framework Revised Design for MTAPV
<b>MTAPV: 5</b>	Integrate Gender and Social Inclusion (GESI) as a core operating principle for ICIMOD
<b>MTAPV: 6</b>	Develop a Centre of Excellence on Systematic Review for issues affecting the HKH

### For Remaining Period of MTAPIV

<b>MTAPIV: 1</b>	Tighten publication processes: dates, languages, glossaries, and web-management
<b>MTAPIV: 2</b>	Update key strategies for use in MTAPV design and operationalisation
<b>MTAPIV: 3</b>	Policy / Decision making ecosystem in the 8 RMCs

## 2. Introduction

### a. Review purpose

The ICIMOD Quinquennial Review (QQR) has been designed, as per the Terms of Reference (ToRs see Annex 18) to 'provide both accountability to the Board of Governors (BOG), ICIMOD Support Group (ISG), regional partners and mountain communities at large, and to strengthen ICIMOD's functioning based on the conclusion and recommendations of the review'. The review has:

3. Assessed the performance of ICIMOD based on its approved Strategy and Results Framework in terms of relevance, coherence, effectiveness, efficiency, impact, and sustainability of results (see Annex 3 for Review Matrix Summary).
4. Provided recommendations of how ICIMOD can improve its Strategy and Results Framework and next Medium Term Action Plan (MTAP).

In summary, the QQR will focus on examining past and current performance (for ICIMOD Regional Programmes (RPs) and initiatives and organizational effectiveness whilst considering options, within the Hindu Kush-Himalaya (HKH) context and changing global priorities, for ICIMOD's next MTAP and possibly beyond.

Discussions with the ICIMOD Support Group and the Programme Management Committee emphasized that the QQR should focus both on a review of the past but also on the way forward at this critical juncture. The QQR is also an opportunity for consideration of the challenges and opportunities in a structured manner with informed individuals to help guide this process and provide evidence to aid the process.

Details of the Terms of Reference and agreed modifications are provided in Annex 18 with the workplan to date in Annex 19.

### b. Agreed Modifications to the ToRs

Based on the Terms of Reference (Annex 18) used for the preparation of the proposal the following changes have been discussed with the ISG QQR team and are presented here for completeness.

1. **Changed date of QQR Submission.** Due to rescheduling of the Board of Governors / ISG meetings to the first week of September in China the IOD PARC QQR team were asked to prepare their report for that meeting. This shortens the timeframe for the review but has the advantage that the acceptance of the report by the BOG (if agreed) in September can enable ICIMOD to use the recommendations to prepare the next Medium Term Action Plan and Strategic Results Framework for approval mid-2022. This then helps ICIMOD to prepare for implementation from 2023 onwards.

**This was discussed at the ISG QQR meeting held on 280421 and IOD PARC submitted a revised workplan in line with the dates that ICIMOD included in the contract. The final workplan (to 190821) is provided in Annex 19.**

2. **The Field phase was renamed the inquiry phase.** Due to the ongoing Covid-19 situation in Europe and the HKH region it was agreed to rename the field phase to inquiry phase reflecting the focus on the strategic level and related key informants. All work was undertaken virtually. This was kept under review at the weekly meetings with the ISG QQR team.

- 3. Presentation to the Board of Governors:** The IOD PARC QQR team were informed that the proposed date for the ICIMOD Board of Governors meeting was to be in week commencing 6<sup>th</sup> September. IOD PARC agreed to present virtually and hold virtual discussions.

## **c. Review Progress Monitoring and Limitations**

The QQR progress has been reviewed weekly in a joint on-line meeting between the ISG QQR members (UK, Norway, Sweden with Farid Ahmad from ICIMOD) and the IOD PARC QQR team. These meetings reviewed progress against the ToRs – including any challenges and logistics. It also helped to monitor the Covid-19 constraints on the QQR as outlined below. This process has been extremely helpful and enabled issues to be flagged and resolved quickly.

### **Limitations**

The QQR has taken place during the Covid-19 pandemic and the review process took this into consideration in the design of the inquiry and reporting phases. It has meant that the whole review has taken place virtually. The Covid-19 situation was discussed regularly with the ISG QQR team at the weekly meetings. Minor adjustments to the work plan were made, especially in relation to the shorter time frame for the QQR. This has not materially affected the scope of work laid out in the Terms of Reference but has reduced the time for inquiry and analysis. The sharing of documentation by ICIMOD staff and the ability to hold online meetings (one to one and small groups) has aided the timely completion of the inquiry phase.

At the post proposal stage the timeframe for the QQR was shortened due to ICIMOD plans to hold a delayed Board of Governors meeting in early September. This has shortened all three phases of the work, but the rationale for gaining early BOG approval for the QQR to feed into the design of Medium-Term Action Plan V (MTAPV) and the Strategic Results Framework (SRF) for the next period is important.

## **d. Users of the Review and possible communication process**

The QQR has been prepared for the ICIMOD Board of Governors (BOG), the ICIMOD Support Group (ISG) and the ICIMOD management team. However, the IOD PARC QQR team also consider that the partners of ICIMOD need to understand the findings of the QQR. To this end the IOD PARC QQR team have proposed a 4-page Executive Summary which could be 'stand-alone' from the main report. This could then be easily circulated to partners and others by ICIMOD management team once the QQR has been agreed.

The timing of this QQR means that the findings will help to inform the on-going preparation of the new Strategic Framework (to 2030) and the Medium-Term Action Plan V to start in 2023. The QQR may be of use to members of the ISG when considering their funding regime for ICIMOD – core and/or programmatic particularly for MTAPV and the remainder of MTAPIV. Targeted recommendations are included in Section 9 to aid users of this review.

## 3. Outline of methodology

### a. Review work plan

Following agreement of the changed timetable for the QQR (notified on 29<sup>th</sup> April 2021) there was a reduction in the proposed workplan of 12 weeks. Combined with the availability of individuals due to Covid-19 and the need to work virtually this has led to a highly compressed analysis and reporting schedule.

The review was undertaken in 3 phases with key dates and deliverables presented in Table 3.1 below. The workplan is given in Annex 19. Presentations are presented in Annex 1.

**Table 3.1: Review phases, dates and deliverables**

Phase	Deliverables / Dates			
Inception	Draft report for ISG QQR review	24 May	Final report	4 June
Inquiry	PowerPoint for ISG 'roll-out'	6 June	Initial findings presentation to ISG	26 July
			ICIMOD presentation PMC	9 July
Reporting	First draft report for ISG	2 August	Revised draft report for ISG	20 August
	Presentation & discussion with ISG / PAC and Board	6, 7, 8 & 9 <sup>th</sup> September	Final report	17 Sept

### b. Review matrix

Using the QQR questions in the Terms of Reference IOD PARC prepared a Review Matrix which uses the OECD DAC evaluation categories and then assigns the review questions against these. This matrix has been used to guide the review and 'ties together' the Operational Effectiveness approach with the OECD-DAC evaluation criteria. The matrix has been used to summarise the evidence from the different tools used in the review (see below). The findings are presented in Section 8 below and the Matrix summary, GESI findings and assessment of the Quality of Evidence (see Annex 2 for assessment criteria) are presented in Annex 3. The use of explicit analysis for GESI is further developed in Section 6 but is an important factor in understanding the ability of ICIMOD to deliver against its mission ***'to enable sustainable and resilient mountain development for improved and equitable livelihoods through knowledge and regional cooperation.'***<sup>2</sup>

### c. Data collection methods / tools

The team used a unified set of tools that enable evidence to be gathered in an effective manner across the 3 inquiry areas. The main inquiry work was undertaken during June and July 2021

<sup>2</sup> ICIMOD Strategy and Results Framework 2017, page 1.

and the following summarises the way the main evidence tools have been used and cross-references to more detailed Annexes where appropriate.

## Key Informant Interviews / Focus Group Discussions / Sense-making

The IOD PARC QQR team has had a wide range of discussions with ICIMOD Board of Governors, Staff and International Support Group as well as partners. The summary is given in Table 3.2 and a full list of meetings is given in Annex 1.

**Table 3.2: Summary of Key Informant / Focus Group Discussion undertaken**

Category	Meetings held	Comments
Regional Member Country Board of Governors	6	Nepal has had a change of government and no response from Myanmar.
Independent Board Members	7	
ICIMOD Support Group	14	The Chair of ISG changed during the QQR. Includes two meetings with ADA due to time differences and meetings with UK FCDO on different topics.
Partners	9	Low response rate but supplemented by Partner survey
ICIMOD Staff	41	This includes several Focus Group Meetings with Themes / RPs, plus multiple interviews with key people and meetings with Country Offices. Supplemented by Staff Survey
Other agencies	3	FAO, WMO, UNEP
Wider experts	5	

## On-line surveys

Two on-line surveys were prepared and sent out. The first to partners where the response rate was 52 out of 103 sent (50.5%)<sup>3</sup>. The pdf of the partner survey questions can be found in Annex 1. The second was to ICIMOD staff where there was a response rate of 159/202 (79%) with this split, based on the ICIMOD staff list by department.<sup>4</sup>

## Document Analysis

The team have reviewed many documents provided by ICIMOD as part of the process and these are referenced when cited in the analysis.<sup>5</sup> This has included, on request, additional documentation from ICIMOD staff – for example work on impact measurement at ICIMOD and roles and responsibilities.

Material has been reviewed from academic publications with a focus on Evidence to Policy to understand the current thinking about this complex process. This has included, following a

<sup>3</sup> See Annex 1 for details of the partner survey and Annex 11 for referenced partner responses

<sup>4</sup> See Annex 1 for details of the staff survey and Annex 15 for presentation of some referenced responses.

<sup>5</sup> See Bibliography in Annex 17

discussion with the European Commission Joint Research Centre<sup>6</sup> (also known as the EU's Science Hub) an introduction to their work based on learning from their work to provide independent scientific advice for policy making.

As part of the process of thinking about ICIMOD's impacts a review was undertaken of the SDG indicators potentially linked to the 9 Mountain Priorities for achieving the SDGs in the HKH (Call to Action, Annex 3). This has been used to provide an initial and albeit partial 'read' of how current ICIMOD activities may help to build the science base for 'mountain-specific resilience building and mountain specific solutions to socio-economic and environmental challenges.'<sup>7</sup> This analysis is presented in Annex 6 with the caveat that this should be further developed by ICIMOD during the coming months to inform the new strategy and MTAPV.

## Analysis and synthesis

The IOD PARC QQR team spent one week undertaking joint analysis virtually to prepare the initial findings for the ISG meeting on the 23 July. The presentation from that meeting is given in Annex 1. The analysis work was based around the 3 inquiry areas (Context, Organisational Effectiveness and Results/Impact) with additional attention on the four areas identified in the inception report for explicit attention i.e. Gender and Social Inclusion (GESI), Partnerships, Knowledge Management and Communication and the MTAPIV Operational Matrix.<sup>8</sup> Two of these areas are discussed in more detail under Section 5 Operational Effectiveness (Partnerships and MTAPIV Operational Matrix), with KMC under Section 7 Results and Impact whilst GESI is discussed in Section 6.

The analysis work also focused on documenting the evidence, including an assessment of the quality of that evidence (using the criteria in Annex 2) to answer the questions posed in the Review Matrix. The summary findings from the QQR matrix are presented, using the OECD-DAC overarching criteria in Section 8 and the summary for each question is presented in Annex 3.

## Report preparation and finalisation process

A first draft report was submitted to the ISG for comments on the 4<sup>th</sup> August and comments tracked and incorporated into the revised draft submitted on the 20<sup>th</sup> August. This revised draft was discussed presented to the ISG / PAC and Board of Governors on the 6<sup>th</sup> September. It was discussed formally with the ISG on the 8<sup>th</sup> September, with the PAC on the 9<sup>th</sup> September and approved by the Board of Governors on the 10<sup>th</sup> September. The comments received during this process were used to make the final revisions to the report. The final report was submitted to the ISG on the 17<sup>th</sup> September 2021.

---

<sup>6</sup> See Annex 5 and <https://ec.europa.eu/jrc/en>

<sup>7</sup> The HKH Call to Action to sustain mountain environments and improve livelihoods in the Hindu Kush Himalaya. Annex 3 page 53.

<sup>8</sup> ICIMOD MTAPIV Medium Term Action Plan 2018 – 2022 page 3.



## 4. Context Analysis

This section covers some of the salient features of ICIMOD's operating context. Starting from a brief commentary on the geopolitics of the region, it covers ICIMOD's funding environment, the underpinnings of regional cooperation in the HKH region, the potential value of the Ministerial Declaration on the HKH Call to Action (CtA), implications of the CtA and CtA-like initiatives on the structure of the organization as well as the impact of the pandemic on ICIMOD's programs and funding environment. In instances where the analysis has led to strategic insights, we have presented them in recommendation-type language.

### Geopolitics of the HKH region

The HKH region has been a locale of periodic geopolitical conflict throughout modern history. Even now there are several conflict hotspots in the mountain region. The borders that India, China, and Pakistan share are not fully settled and often are contested politically as well as militarily. Domestic insurgencies and political instability in some of the HKH countries have persisted for decades. Many of these domestic and international conflicts play out in the high mountain areas of the HKH region as well. Despite these challenges, ICIMOD has retained its reputation as a **neutral convener** in the region and managed to launch a number of transboundary and regional programs in the last decade or so.

### Institutional vacuum in regional cooperation

The eight member countries in ICIMOD come from two regional blocs: ASEAN and SAARC. While ASEAN has developed a fairly dense set of instruments and platforms for regional cooperation, SAARC has not been as successful. Other regional formations such as the Bay of Bengal Initiative for Multisectoral Technical and Economic Cooperation (BIMSTEC) and the informal Bangladesh, Bhutan, India, and Nepal grouping (BBIN) are showing some traction on the ground, but they are relatively new institutions, and their representational configuration does not cover the HKH region in its entirety. As an inter-governmental organization with the ability to work effectively with all eight countries, the institutional vacuum in regional cooperation in the HKH region leaves ICIMOD with a **unique role and opportunity** in the region. ICIMOD's recent success in bringing ministerial level representation and drawing commitments from all countries to work together on the CtA has highlighted that role significantly.

### Funding environment

Not counting China, whose per capita GDP is slightly above USD 10,000, the other seven regional member countries have an average per capita GDP of about USD 1,700. At this stage of development, ICIMOD is not likely to meet all its costs with RMC contributions alone although the need to raise the RMC contribution level has been felt for some time. Currently the RMC contributions cover about 15% of the costs. At least for a few years to come, ICIMOD will have to continue to raise funds from development partners for both core as well as program activities.

On the other hand, because of the economic impact of the pandemic, the RMCs as well as the development partner countries are going through budget deficits and cuts in ODA allocations. This tight funding environment is expected to last at least another 2 years or more. From our interviews with the development partners, it appears that the **funding cuts** applied to development ODA **may not be extended to climate-related allocations**. Since ICIMOD

has a good spread of climate-related portfolio the budget cuts may not have a significant impact on ICIMOD's climate-related work.

While not all global climate finance instruments and facilities provide funds that are suitable to ICIMOD's program priorities and operating mandates, there might be windows of opportunity that ICIMOD can closely track in this space as well. The tight funding environment could be an opportunity for ICIMOD to explore potential funding from **private philanthropic foundations**, a funding source growing fast in size as well as influence. Also underexplored is the potential for ICIMOD to develop research partnerships with Northern **academic institutions** that can tap into their **own government's science grants**. This may be further facilitated by putting some of the **fund-raising burden on thematic leads**, who often are recognized regional experts in their respective fields.

## The regional value of the Call to Action

The HKH range is ecologically fragile, predominantly poor, dotted with low-intensity and localized conflicts, divided by multiple national and state borders, and heavily militarized in some segments. Transboundary cooperation in the HKH region is desperately required to work on the region's ecological fragility and other problems. Given the unusual vacuum in regional cooperation among the HKH countries, the Call to Action (CtA) is so far the **only viable regional cooperation platform (see Box 4.1)**, which can be built to gradually foster transboundary engagements among governments, people, academic institutions, and the private sector. Obtaining a ministerial-level commitment to work in this direction is a breakthrough of sorts for ICIMOD as well. ICIMOD's regional programs have, otherwise, engaged regional stakeholders at the technical levels effectively, but never quite driven an agenda at the political level with the same degree of success. In that respect, the **opportunities generated by the CtA** must be fully captured by ICIMOD's internal strategy, external relations, repertoire of scientific knowledge, and additionally mobilized resources.

### Box 4.1: HKH Assessment, Call to Action and Ministerial Declaration

The HKH Call to Action is based on the Hindu Kush Himalaya Assessment: Mountains, Climate Change, Sustainability and People completed in 2017 and published in 2019. The HKH Assessment provides a 'wide-ranging, innovative evaluation of the current state of knowledge about the region'. The Ministers of the eight Hindu Kush Himalaya countries (the ICIMOD RMCs) welcomed the HKH Assessment and endorsed a set of actions to take forward the HKH Call to Action on 15 October 2020. ICIMOD will now serve as the Secretariat to the HKH Ministerial Mountain Summit, the HKH Science-Policy Forum and the Taks Force, and coordinate HKH-level monitoring and assessments on a regular basis.

## Positioning to support the CtA or CtA-like activities.

Despite funding and other challenges<sup>9</sup>, ICIMOD remains the only regional player that is capable of convening key governmental and non-governmental institutions from the RMCs on a range of mountain development issues including climate change. ICIMOD's reputation as an organisation that brings high-quality science to the region also reinforces its comparative advantage. This comparative advantage must be safely guarded and further developed. Going beyond convening and knowledge-generating functions, however, ICIMOD has the opportunity to develop a robust policy presence in the region through the CtA or CtA-like platforms.

<sup>9</sup> See Annex 8 for an initial analysis of possible funding sources

**Policy work is more of an art** than a science. It requires granular understanding of how policy actors in a particular context act, how they think, how formally or informally their policy processes work, and what kind of values and incentives drive them. With nearly all its staff located in Kathmandu, ICIMOD will struggle hard to understand the policy context and processes in all eight countries at the required depth. It is perhaps time for ICIMOD to think of both a **decentralisation strategy** that relocates some of the senior staff in-country and in parallel to this using its **new Secretariat function** to the different elements of the Ministerial Declaration behind the CtA to creatively bring members of the policy making community more strongly into the discourse within ICIMOD. Given the current funding context, if ICIMOD is unable to embark on a decentralisation strategy in the short-term, it can build an in-house capacity to generate granular policy context analyses for each country.

## Impact of the Covid-19 pandemic

ICIMOD's work geographically spans from Myanmar to Afghanistan, across several themes and programs. The work involves, among other things, managing and coordinating staff input across eight countries, expanding and cultivating external relationships, networking with partners, and maintaining policy engagements with counter-part agencies. From our interviews with staff and partners, the inability to have a physical interface with counterparts or to travel is gradually **eroding relationships** cultivated through years of collaboration. In a separate section above, we have noted the potential **funding cuts** that the impact of the pandemic may entail. The combination of funding cuts and eroding relationships can be a serious setback for ICIMOD in the short-term. While it is difficult to predict at what time the pandemic will subside to a point where normal work activities can resume as usual, the current vaccination rates in the HKH countries suggest that the **pandemic is likely to stay longer** in this region compared to others.

## Learning from other regional initiatives

ICIMOD's mandate in the HKH region is unique and it is difficult to draw a list of readily adoptable practices for ICIMOD. There are, however, some practices within similarly situated organizations that are worth exploring. Intergovernmental organizations that work closely with the government as well as civil society organizations are best positioned to open a dialogue between the two sides. Since ICIMOD, as a matter of practice, refrains from engaging in the politics of policies, it can consider promoting Track 1.5 dialogue series such as the Abu Dhabi Dialogues on transboundary water management supported by the World Bank circa 2008. The idea here is to create appropriate forums for the government policy makers to hear and respond to policy perspectives coming from ICIMOD's key partners in confidential settings facilitated by ICIMOD. Track 1.5 dialogues are generally effective in moderating hardened positions in policy discourses.

Policy ideas presented in highly visible public events, when appropriately supported by communication tools, can have a much larger impact compared to formal meetings conducted in government offices. While ICIMOD does organize multi-stakeholder networking and knowledge sharing events these have not become branded events that arouse public and media curiosity. Events such as the Annual Arctic Circle Assembly<sup>10</sup>, which brings together universities, think tanks, NGOs, community leaders, business leaders, and governments every year in October at a well-advertised gathering with the financial support of multiple organizations and businesses could be attempted in this region and can add to ICIMOD's visibility and influence.

---

<sup>10</sup> See Annex 14 for a short analysis of some regional institutions and their relevance for ICIMOD.

## Context – conclusion and looking forward

The HKH region has several geopolitical hotspots, particularly, in high mountain areas and some of the HKH countries have suffered from extended political instability in the last three decades. In a geopolitically challenging region, ICIMOD's importance as a neutral convener on a variety of sustainable mountain development issues has continued to grow. ICIMOD is also uniquely positioned to promote regional cooperation in a region where other regional institutions and platforms have not performed well. ICIMOD's regional reputation as a science organization and its continued effort to expand knowledge services have further strengthened its comparative advantage. At the same time, in the short-term, it faces the challenge of maintaining fund flows and ground-level effectiveness with the Covid-19 pandemic disrupting the operating space and donor budgets. Strategically, with the CtA in place, it has now developed a promising platform to further build its regional cooperation portfolio and assert its policy presence in the region. To get there in the next 5-7 years, ICIMOD has to deepen its relationship with counter-part agencies in the RMCs, understand their policy processes more deeply, and expand its funding sources.

FINAL

## 5. Organisational Effectiveness

Between 2011-2015 ICIMOD took a significant growth step as an organisation both in terms of staff numbers and operating budget<sup>11</sup>. During this period, it also introduced the operating model of a matrix approach involving regional programmes and themes, established an Enterprise Resource Planning (ERP) system and an accompanying set of financial management and administration practices, invested in professionalising HR systems and practices and other (internal) service function areas such as monitoring and evaluation and knowledge management and communications.

The QQR of 2016 observed a number of strengths across different aspects of organisational effectiveness within ICIMOD:

- 'ICIMOD has a very well structured and organised approach to operational management'
- 'Risk management issues carefully considered and rated at institutional, programmatic and initiative level'
- 'The management structures and administrative processes have been generally effective'
- 'The automation of financial and reporting system has made a significant difference to the general efficiency of management'

Whilst overall there was a solidity and confidence in the effectiveness of the systems, practices, and behaviours within ICIMOD to deliver on its mandate the QQR also identified a number of emerging areas for attention. This included 'reducing organisational complexity and simplifying the programme delivery and reporting systems as much as possible'. In response to the QQR ICIMOD identified a number of areas where within the MTAPIV period it undertook to address specific improvements relating to different aspects of organisational effectiveness.

Our QQR inquiry in 2021 has explored organisational effectiveness through the lens of selected dimensions of strategic, operational, relationship and performance management in order to provide a picture of the way in which ICIMOD is currently functioning, how that reflects a continued progression (from 2016) and critically, supports a reflection on how 'fit for purpose' the organisation is in relation to tackling future challenges and opportunities. Central to which is the importance - recognised by ICIMOD – of being an organisation that can find the 'sweet spot' of servicing the needs of RMCs and have the capacities needed to remain globally relevant. Key findings are set out below followed by a short overall concluding paragraph on organisational effectiveness. More detail supporting the analysis is provided in Annex 7.

### Strategic management

ICIMOD has a strong sense of its unique positioning within the HKH landscape of regional cooperation and allied to this its **comparative advantage**, in particular its convening power. This capacity is underpinned by its status as an institution of the RMCs and working, primarily, with southern scientists on regional / global quality science. It continues to put this comparative advantage to good effect, but this could be refreshed and approached more consistently across ICIMOD's areas of engagement and be more deliberately applied, as reflected in the HKH CtA process.

The **operating model** of ICIMOD is dominated by the Operational Matrix. Whilst designed to foster an interdisciplinary modality to ICIMOD's work – a critical and strategic dimension of the organisation – the current approach is no longer fit for purpose. The interplay between Regional Programmes (as budget holders) and Themes (as pools of specialists) is proving to be more of a constraint than an enabler for institutional impact. This despite various efforts to

---

<sup>11</sup> Total expenditure increasing from \$14m in 2010 to \$28m in 2015

improve the situation. With the principle of interdisciplinarity now firmly embedded within the staff group there is an opportunity to reconfigure the operating model in a way that builds from this and provides for a sharpened and deepened focus of collective effort (through strategic and effective partnering) on selected key research questions emerging from the CtA, coupled with greater team and individual accountability and responsibility for achieving key results in these areas.

The **financial framework** of ICIMOD continues to support mandate implementation. Over the MTAPIV period ICIMOD has further strengthened its position on core funding (in 2020 63% of total planned expenditure) whilst continuing to achieve overall budget/ expenditure levels that are consistent with the levels reached in 2015. This has been achieved within a more turbulent period for donor finance and the group of non-RMC donors providing core funding to ICIMOD has shrunk. Work on a future funding strategy was successfully completed in 2020. Within this there is an important agreement with the RMCs for their financial contributions to ICIMOD to increase year on year by 10%. The current balance between core (flexible) and non-core (earmarked) funding – of around 65%: 35% - is within the range that ICIMOD have been targeting. This relative balance between flexible and earmarked funding represents a strong and appropriate position for the effective running of the organisation and ICIMOD has been able to use core funding to plug gaps across its different workstreams thereby ensuring continuity. The extent to which this has reflected a hard prioritisation on pursuit of key results has been less evident. ICIMOD's financial reserves have strengthened over the MTAPIV period (around \$10 million in 2021 compared to \$500,000 in 2010).

The stability and areas of progress on the financial front has been facilitated by the overall **good standing of ICIMOD in terms of its fiduciary status and supporting systems and processes**. This is demonstrated by the Adaptation Fund Board in its recommendation for ICIMOD to be approved as a Regional Implementing Entity for the Fund (becoming the first RIE in continental Asia), citing the Fund's independent Accreditation Panel determination that 'ICIMOD is a sound and strong fiduciary organization'.

The funding landscape for ICIMOD continues to evolve (greater diversity and complexity) and management recognises that **increasing attention and effort will be needed by the organisation to ensure that it secures the right levels and types of finance** to allow it to energetically pursue its results without stepping beyond its mandate/ operating principles and exposing itself to levels of reputational risk that can't be easily mitigated. In the critical climate finance space ICIMOD will need to be clear on whether it is best positioned to provide technical capacity (underpinned by its own institutional core funding) to provide supporting technical capacity to other bodies in the RMCs/ the region accessing climate finance rather than seeking to be direct fund-holder for an implementation role. Similarly, a position needs to be established on the parameters by which it judges the suitability of ICIMOD working with private sector finance (different forms/ conditions) so ICIMOD can be proactive and responsive.

Existing structures and mechanisms are broadly supportive of ICIMOD's organisational focus on **gender equality**. The most recent Gender Audit – a key iterative process – identified some continued areas for attention in respect to accountability and resourcing. The organisational commitment on **social inclusion** lacks specific structures and mechanisms of the form that it has successfully used to deliver on gender equality.

## Operational management

There has been a significant **growth in staffing** in MTAPIV. The current staff levels (from May 2021 staff list) are presented in Table 5.1. However, from the staff survey the QQR team, based on staff self-identification have categorised roles by Management / Admin / Technical (see Table 5.2). This shows that there currently more staff identify as management /admin than technical. It is unclear whether this reflects a conscious decision in terms of relative allocation of human resources to functional demands of the strategic plan or whether it has been a more unconscious drift aligned to the continued (small) growth in the number of programmes and initiatives over the MTAPIV period coupled with the time demands of a set of internal operating procedures for delivery. This includes the time being spent on different aspects of partner management.

The **lived experience of the Operational Matrix** is resulting in both overly fragmented and prescribed workplans for technical resources held within the Themes and a tendency for the 'pull' of use of internal resources to act counter to greater engagement with partners. In respect to the former the actual 'added value' within ICIMOD of an interdisciplinary approach is being checked. There are also concerns voiced across the staff group that under-performing staff can be effectively hidden within the matrix system and/ or it limits the opportunities for more active talent management by the organisation, with increasing attention to 'soft' political skills<sup>12</sup>. Overall, in practice, there is

**Table 5.1: Summary of ICIMOD Staff numbers (May 2021)**

<u>Regional Programmes</u>	<u>Staff</u>	<u>Service Departments</u>	
1. ADAPT-RES-BUILD	7	SPM&E	6
2. TRANSBOUNDARY LANDSCAPES	10	STRATEGIC COOPERATION	4
3. RIVER-BASIN-CRYO	9	KMC	28
4. ATMOSPHERE	5	DIRECTORATE	5
5. MENRIS	6	CHIEF	3
6. MKAN	7	ADMIN-N-FINANCE	30
<i>Sub-total</i>	<b>44</b>	COUNTY OFFICES	3
<b>Themes</b>		<i>Sub-total</i>	<b>79</b>
ECOSYSTEM SERVICES	11	<b>TOTAL (May 2021)</b>	<b>202</b>
WATER-N-AIR	20		
GEOSPATIAL SOLUTIONS	26		
LIVELIHOODS	22		
<i>Sub-total</i>	<b>79</b>		

**Table 5.2: Number / class of ICIMOD staff, based on self-identification response to staff survey**

<b>Role based on staff survey response</b>	<b>#</b>	<b>%</b>
Management	33	22%
Technical Science	44	29%
Technical - KMC	19	13%
Admin - Programme	14	9%
Admin - Partner	6	4%
Admin - Institution	21	14%
No Response	13	9%
	150	100%
<b>Total Management</b>	<b>33</b>	<b>22%</b>
<b>Total Admin</b>	<b>41</b>	<b>27%</b>
<b>Total Technical</b>	<b>63</b>	<b>42%</b>

<sup>12</sup> ICIMOD is currently undertaking an internal competencies assessment exercise.

less flexibility for the **continuous alignment** of human resources to the demands of the strategic plan than the theory of the matrix model suggests.

Working through its well established and continuing investment in improving HR systems and processes ICIMOD **continues to attract and retain a strong staff group from the region** complemented by a small number of internationally sourced positions. The balance within the staff group across the RMCs remains skewed to certain countries (India, Nepal, Pakistan, Bhutan) and there is a recognition that ICIMOD needs to urgently consider the different ways of identifying and attracting in high quality staff from the specific context of each RMC. The organisation also needs to review, and as necessary act, to address the **diversity of people from mountain community backgrounds** within its staff cadre and at different levels of seniority. Empathy and sensitivity to the voices of mountain communities is expected to be an increasingly important aspect of ICIMOD's work within the next MTAP period.

Within MTAPIV ICIMOD committed to be more effective in a number of institutional functions. This included 'to build and maintain relationships at the highest level with the RMCs'. Since 2016 there have been early and modest moves on taking this forward through the vehicle of organisational representation at the country level (Pakistan and Afghanistan). The potential for **country-based staff** to play a more active and effective role in building and maintaining relationships within the respective country policy ecosystem of focal ministry/ agency and other key parts of the government system is reinforced and amplified by the CtA process. The **Secretariat function of ICIMOD to the CtA** provides a unique and highly significant opportunity to think creatively in how to further strengthen the building and maintaining of relationships with the RMCs through this channel. This could include deputed staff from RMCs (on a rotational basis) providing the core of a small secretariat housed within the ICIMOD complex with a reporting line to the Director General. Early and decisive moves on both of the above would also be a way of bringing much needed clarity in terms of (limited) scope, ambition and focus to **ICIMOD's role in long-term capacity development**, one that privileges the process (the systemic) aspects of capacity development, rather than the training of individuals.

## Relationship management <sup>13</sup>

Relationship management relates to (i) ICIMOD's relationship with RMCs as the long-term investors (including and beyond finance) / principal shareholders in the Centre as the intergovernmental body that provides evidence to support the RMCs in their development process of the HKH, and (ii) the relationships (at both a strategic and tactical level) that ICIMOD has with a diverse range of partners at different scales (sub-national, national, regional, global) and that it engages with in its programmatic work to deliver and progress (selectively) against the priorities (individually & collectively) of the RMCs, as articulated within the CtA. The QQR's analysis and findings on partnerships below are organised to reflect this distinction.

### ICIMOD and Partners

**ICIMOD's partnership base has grown considerably**, mirroring the growth in the organisation, its fundings as well as its regional programs, themes and initiatives. At any given time, ICIMOD works with over 100+ partners that vary in size, type, geography and thematic area of operation. For example, in 2020 alone, ICIMOD signed 70 new cooperative agreements, 4 new strategic and policy partnerships, 6 partnership agreements, 15 implementation partnerships and 34 institutional collaborations.<sup>14</sup>

---

<sup>13</sup> Note that this section summarizes the more detailed partnership analysis presented in Annex 10.

<sup>14</sup> ICIMOD. Annual Progress Report Highlights 2020

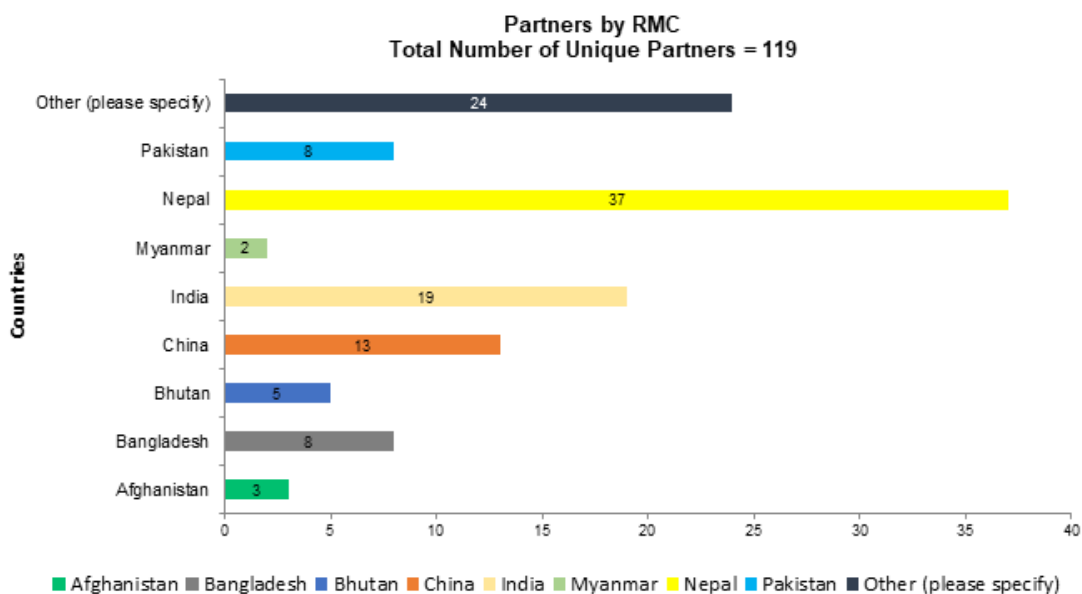


Under MTAPIV, ICIMOD’s consolidated list of partners<sup>15</sup> shows a total of 119 unique partners and 144 partnership arrangements with a mix of strategic and policy, knowledge, research and implementation partners that are spread out across the RMCs (see Figure 5.1).<sup>16</sup> ICIMOD has developed a typology of partners to categorise the nature of its partnership relations with different partners (see Box 5.1) and uses different types of types of institutional arrangements with partners across its regional programs and initiatives (see Table 5.3).

**Box 5.1: Typology of ICIMOD partners**

- Strategic and policy partners
- Implementation partners
- Operational partners
- Research partners
- Development partners
- Knowledge partners and networks.

**Figure 5.1: ICIMOD partners by RMC – MTAPIV**



Organisationally, **ICIMOD has made significant investments in strengthening its partnership ability** – in terms of policies, tools, approaches, and resourcing. The investment in partnerships is reflected through the setting up of the Strategic Cooperation Unit (SCU), systematisation of partnership types and instruments through a Partnership Strategy (2013)<sup>17</sup>

<sup>15</sup>The QQR team referred to two partner lists: the first is the ICIMOD Partners List 2020 which lists the partners by regional member countries and non-regional member countries and has information on the typology of the partnership and key contact information. The second is the ICIMOD Consolidated Partnerships List and Contact Details which lists all partners under MTAIV and has information on agreement type, agreement period, contract amount, regional program, country, focal person and contact information. However, this list did not have information on the typology of partners. Therefore using the consolidated list as the base document, we added information on the typology of partners from the first list.

<sup>16</sup> While the total number of partners mentioned is 144 – there are some partners with whom ICIMOD has had multiple funding arrangements and agreement types – often across different regional programs and initiatives. Therefore, when these are accounted for, the total number of unique partners under MTAPIV is 119.

<sup>17</sup> The 2013 Partnerships Strategy defines ICIMOD’s institutional approach to partnerships including key principles and approaches. The Strategy describes a typology of partners and partnership instruments and arrangements to formalize ICIMOD’s institutional relationships.

and Partnership Manual (2017)<sup>18</sup>, creation of a web-based partnership management system as well as institutionalisation of partnership brokering approaches and principles. This has enabled ICIMOD to keep pace with its organisational and programmatic growth and ensure that **processes and systems remain robust**. ICIMOD has also taken its partnering approach one step further and **institutionalised partnership brokering** as an intrinsic aspect of its relationship with its partners. However, the consequences of an expanded number of partners and partnerships has been an **increase in administrative and financial compliance requirements from staff and partners**. In several interviews, staff indicated the partnership process is labour and time intensive as are the administrative and due diligence expectations and requirements from partners – even for relatively small amounts of funding.<sup>19</sup> This was echoed by the staff survey where in response to a question on the organisational procedures for partners, over 50 per cent of respondents felt that the processes caused delays in implementation for partners.<sup>20</sup>

**Table 5.3: ICIMOD partnerships under MTAPIV by Initiative/RP and arrangement type<sup>21</sup>**

UNITS	Framework of cooperation (FoC)	Letter of Agreement (LOA)	Letter of Intent	Letter of Intent	Memorandum of Understanding (MoU)	Total
<b>Adaptation and Resilience Building</b>		10	3		1	14
<b>Adaptation to Change</b>				1		1
<b>Atmosphere</b>		4	3	3	1	11
<b>MENRIS</b>		2	4	3	2	11
<b>MKAN</b>		33	2		1	36
<b>Nepal</b>			2			2
<b>Non-RP/Others</b>	1		4	4	19	28
<b>River Basins and Cryosphere</b>		12	5	1	1	19
<b>Transboundary Landscapes</b>		19	2		1	22
<b>Grand Total</b>	<b>1</b>	<b>80</b>	<b>25</b>	<b>12</b>	<b>26</b>	<b>144</b>

It is evident from the staff survey and interviews, that **partnerships add significant value to ICIMOD** – enabling ICIMOD to expand the scope of its work, increase its footprint not just on key issues but also in key geographies across the RMCs, to build networks and connections with organisations operating at different levels, develop strategies for uptake and out-scaling and from an administrative point of view help ICIMOD and staff to keep administrative and other overhead costs in check. In turn, **partner feedback on the experience of working with ICIMOD is generally positive and it is clear that ICIMOD is seen as a valued, trusted and credible partner in the region** (see partner survey responses in Annex 11).

<sup>18</sup> The 2017 Partnership Manual clusters partners into four broad types of partnerships that ICIMOD engages in: (1) strategic and policy partners, (2) implementation and operational partners, (3) network and knowledge partners, and (4) development partners.

<sup>19</sup> See responses to Staff Survey Qs. 25-26 Annex 15

<sup>20</sup> See response to Staff Survey Qs. 54 Annex 15

<sup>21</sup> ICIMOD 2020 Consolidated Partners List and Contact Details as supplied by ICIMOD.

In terms of results and impact, ICIMOD's regional program, thematic and initiative portfolio is diverse and within this there are **strong examples of where ICIMOD has worked effectively** in creating multi-stakeholder partnerships (SWaRMA); transboundary dialogue forums and platforms (UIBN, KBI), worked with the private sector (Brick kiln initiative); created regional research and knowledge networks (SANDEE and HUC) and engaged with local governments, communities and partners on the ground on transboundary issues (CBFEWs).

**However, given the strong asset that ICIMOD has in its partnerships, there is a lack of clarity and specificity about how the sum of ICIMOD's partners – in terms of specific programs and initiatives – add up to the whole and in so doing contribute to the ICIMOD's strategic results chain at a strategic and institutional level.** While ICIMOD's Partnership Manual<sup>22</sup> does articulate a partnership results chain, it is very linear and siloes partners by typology into specific aspects of the results chain that does not necessarily reflect the complexity of how partnerships work within ICIMOD's own programs and initiatives. For example, the partnership results chain, maps strategic and policy partners at output and outcome level, however there is a key role of these partners at initiative design and activity level as well. The same holds true for the role of other partners – science and research and operational partners within the partnership results chain.

More broadly, **an initiative-by-initiative approach to partnerships means that at a broader strategic level, it is not clear which are the key partners and types of partnerships that ICIMOD needs to tap within the RMCs to deliver on its strategic and programmatic results. For MTAPV, it will be critical for ICIMOD to identify a core set of partners** that will be key to ICIMOD delivering on the research questions that it identifies. These may be a small number of trusted and credible partners from the RMCs that ICIMOD works with at a strategic level on design, co-creation etc, while at initiative and project level it continues to work with implementing partners that are contracted on a short – medium term basis.

As ICIMOD begins the preparation of the MTAPV, **the QQR sees value in a partnership audit and review which evaluates existing partnerships and relationships at institutional, regional program, theme and initiative level.** This audit could consider how these may be leveraged more effectively to support the delivery of ICIMOD's results chain going forward (See **MTAPIV Recommendation No. 2**). Building a clear set of long-term and focused partnerships would enable a coherent approach to partners that in turn could enable greater attention to leveraging influence at a more strategic and systemic level. This may also enable ICIMOD to calibrate its partnership processes and systems more effectively with its partners and the needed staff and partner time required to meet compliance and other requirements.

### ICIMOD and RMCs

**ICIMOD's strategic engagement particularly with the RMCs emerged in several interviews (including staff, partners, ISG and others) as an area which needs greater focus and attention. There is a view that ICIMOD is becoming "ICIMOD centric" in the way it which it operates and how it designs, implements and funds activities and initiatives.** This has led to a *perception* that ICIMOD has become "donor driven", that its footprint on the ground in the RMCs is limited beyond a few pilot initiatives and that there is a lack of sustained and strategic level engagement with key government and policy partners in the RMCs at the design and inception stage. This is compounded by the limited funding (especially over the long term) of in-country partner led efforts particularly for scale up and outreach beyond the project/program lifecycle.

---

<sup>22</sup> ICIMOD. 2017. Partnership Manual. Fig. 3, p.6

The question of '**ICIMOD's footprint' within the RMCs** is a recurring one and reflects growing questions around the added value that ICIMOD does and potentially could bring to RMCs. ICIMOD's current reputation as a knowledge hub and centre of excellence in the region on issues related to mountain development is well acknowledged but its link, reach and accessibility beyond the RMC focal ministry to other RMC stakeholders – state and local governments – in particular is less strong. **ICIMOD's engagement with the RMCs with a diversity of partners within and across the HKH region will be critical to the Call to Action.** As an inter-governmental organisation, ICIMOD must consider how it can deepen its engagement with RMC governments and with other key policy partners. The HKH Ministerial declaration in 2020 is a strong example of ICIMOD's ability to convene key RMC partners around a common agenda – this ability and capacity needs to be strengthened and taken forward under MTAPV.

**As part of the work of co-creation of strategic research questions and the design of the Strategic Results Framework the QQR are recommending that the RMCs are actively involved in this process.** Initially the Call to Action would serve as the starting point for this exercise for MTAPV. The process would envisage more sustained engagement with the RMCs, including through the Science-Policy Forums. Improving ICIMOD's RMC 'footprint' to suit each context and resourcing availability could also facilitate this process as this can provide important anchor points for institutional in-country relationships particularly with government and policy level stakeholders. Personal networks and relationships between ICIMOD staff and RMCs (and strategic partners) would complement this work.

To conclude, in terms of relationship management, ICIMOD's partnership portfolio has grown considerably in number and diversity. Organisational procedures are broadly supportive of the speed of engagement and implementation with partners, recognising that there are often trade-offs between due diligence requirements, standardised processes, and the interest of both sides to move quickly. ICIMOD's key business practices are well regarded by partners (and donors who fund activity) and provide effective points for convergence with the business practices of those actors who it has traditionally maintained relationships with. However as indicated above, going forward there is a need to simplify procedures and clarify expectations of and from partners. Overall, there needs to be a shift to a greater emphasis on what relationships/partnerships are designed to achieve rather than the mechanics or process. Putting the focus on 'partnership' – the strategic resource – whilst streamlining and simplifying (where appropriate) the internal systems to help manage 'the partner'. This will be particularly important when working with those large RMCs for whom the mountain environment is only a relatively small part of their national attention.

Finally, there is also a critical need to distinguish the RMC relationship from ICIMOD's engagement and partnership with other partners and to make the necessary strategic, policy and resource investments in these distinct types of relationships as appropriate.

## Performance management

ICIMOD's monitoring system provides a **consistent flow of data against the Strategic Results Framework (SRF)**. As such it is oriented to the characteristics of the SRF (see Results and Impact section). This supports annual reporting and reflection on the progress of projects and initiatives within the regional programmes. More attention is needed on the collection and analysis of monitoring data at the institutional level in ways that support a more rounded view on performance of ICIMOD 'the organisation' and aligns with a clearer and more transparent view on impact (different dimensions) of ICIMOD, recognising its diverse set of stakeholders at national, regional, and global level.

ICIMOD's **risk management** strategy (updated 2020) for MTAPIV identified how 'as ICIMOD's visibility and competitiveness increase so do the risks related to achieving quality results and cutting edge, innovative science'. The multi-layered approach (to identifying risk and setting

out risk mitigation measures) is a comprehensive one. It is not clear whether the organisation has the bandwidth to actively monitor and mitigate this number of risks and for the Senior Management Committee to be able to focus in on and give due attention to those that are most business critical. Institutional risks are currently tabled to the Board of Governors on a biannual basis rather than (more frequently) to the Directorate or SMC of ICIMOD. Overall, the QQR inquiry suggests that the management effort within ICIMOD is disproportionately pulled to the operational level rather than the strategic level.

## Organisational effectiveness - conclusion and looking ahead

Overall, ICIMOD is a well-functioning mature organisation with a core strength, coherence, and stability across its different functional areas. It is now operating – partly through its own success – in an environment and context that demands a higher bar on organisational effectiveness. Moving into the MTAPV period ICIMOD needs to reset – quickly and in an aligned way – some specific aspects of its strategy, structure, systems, and organisational culture thereby ensuring that it is equipped to reach the ‘higher bar’ of performance that the framing of the Call to Action demands and the global community is looking for in the region. Central to this will be re-shaping the organisation – protecting the core strength and providing the space and capacity for agility - in ways that supports ICIMOD’s comparative advantage (convening power) across different types of initiative areas (see Table 5.4 below) to be more purposefully deployed.

**Table 5.4: ICIMOD possible comparative advantage in implementing projects / programmes**

Type of Initiative	ICIMOD’s Primary Role	Working with others?
<b>Research / innovation</b>	High & lead role	Yes – with key partners
<b>Regional Monitoring</b>	High & lead role	Yes, with a range of national / regional and global partners
<b>Scale-up</b>	<b>Development initiatives:</b> Medium and ‘back-stopping’ role but  <b>Convening power</b> may be vital for Transboundary work.	Yes with ‘vertical agencies’ / RMCs taking lead role for ‘development’ programmes.  RMCs & other partners critical for long term sustainability.
<b>Capacity / Learning processes</b>	Variable depending on topic e.g. high in cryosphere / geospatial	RMC’s important role for ‘embedding’ sustainable learning processes (curricula / Training of Trainers (ToTs))
<b>Networking</b>	As coordination / facilitator / funding	Primary drive is the network itself to provide longer term viability
<b>Grant Making</b>	Funded by agency to be the manager for grant making process to civil society.	Successful grant applicants.

## 6. GESI

### GESI analysis (strategic, organizational, programmatic)

#### Approach

The QQR pursued two areas of inquiry in relation to GESI as outlined in the ToR: (i) the extent to which ICIMOD has been able to achieve its focus on gender transformative change and inclusive development at various levels across its work, the barriers that have been encountered and how they been overcome and (ii) existing evidence that ICIMOD has promoted gender and inclusion as an organization and its programmes. In terms of methodology, the evidence gathering processes, analysis and synthesis of the QQR review were informed by a strong focus on GESI across the three major inquiry areas i.e., context analysis, organizational effectiveness, results and impact. The review triangulated evidence from responses to key questions related to GESI through a document review, as well as responses from the staff survey, partner survey and from key informant interviews.

#### Key Findings for GESI in the HKH

The HKH is a complex and socio-economically, culturally and ethnically diverse geography and landscape and this is well recognized by ICIMOD. ICIMOD's landmark HKH Assessment has a dedicated chapter that addresses issue of gender and equity in the region and argues for the greater recognition of the links between climate science and climate interventions of different groups and the differential experiences and impacts experienced by different groups based on their gender, ethnicity, class, caste, age and other factors that intersect with gender.<sup>23</sup> The HKH Call to Action similarly spotlights the issue of GESI and the critical need to promote policies and actions that specifically address issues of gender and social inclusion in the HKH region to enable countries to meet their commitments under the SDGs (See Box 6.1.)

<p><b>Box. 6.1. HKH Call to Action – Urgent actions</b></p> <p><b>No. 2: Recognize and prioritize the uniqueness of the HKH mountain people</b> <i>Promote actions that lead to <u>gender equality and inclusive development</u></i></p> <p><b>No. 4: Take accelerated actions to achieve the SDGs and 9 Mountain Priorities</b> <i>Enable mountain specific policies and development pathways that are <u>pro-poor, and gender and socially inclusive</u></i></p>
--

ICIMOD's 2020 paper on Covid-19 in the HKH region<sup>24</sup>, importantly highlights the impact that the pandemic has had on deepening existing inequalities and vulnerabilities in mountain regions and the need to pay particular attention to issues of inclusion, equity and the intersection of these issues with gender. Notably, both the HKH assessment and the paper on Covid-19, spotlight the **paucity of disaggregated data in mountain regions as a key impediment** to designing policy interventions and programs that can address normative and structural issues underpinning inequality and exclusion in these regions. However, **while there is a clear recognition of the critical importance of addressing GESI in the HKH**

<sup>23</sup> Resurrección, Bernadette P.; Chanda Gurung Goodrich; Yiching Song; Aditya Bastola; Anjal Prakash; Deepa Joshi; Janwillem Liebrand; and Shaheen Ashraf Shah. 2019. "In the Shadows of the Himalayan Mountains: Persistent Gender and Social Exclusion in Development", Chapter 14 in P. Wester, A. Mishra, A. Mukherji, A. B. Shrestha (eds) (2019) The Hindu Kush Himalaya Assessment—Mountains, Climate Change, Sustainability and People. Springer Nature Switzerland AG, Cham.

<sup>24</sup> ICIMOD. 2020. COVID-19 impact and policy responses in the Hindu Kush Himalaya. International Centre for Integrated Mountain Development.

**region, a key finding of the QQR review is that the institutional and organisational lens through which ICIMOD addresses the issue in its own work is more focused on “gender” and “transformative change” and less on social inclusion.** Further ICIMOD’s academic and programmatic work and publications on gender to date has been fairly limited as compared to knowledge generation and output in other key thematic areas. This is more so the case with social inclusion, which the QQR recognises is a complex, challenging and often contentious issue in the HKH region, but is vital to consider in the context of ICIMOD’s core agenda i.e., sustainable development for HKH region and its core constituency – mountain peoples and communities.

### GESI at organizational and programmatic level

**ICIMOD has made a concerted effort and considerable progress to include and integrate gender into its work organizationally and programmatically.** It is evident from the review that **gender equality and inclusive development is a priority strategic results area for ICIMOD** and is listed as one of the seven strategic results areas in MTAP-IV and 2017 results framework. This strategic focus is echoed through several policies including the Gender and Equity 2020 policy, a dedicated gender team headed by a Gender lead and a team of specialists and associates, and through an institutional and programmatic system of developing Gender Action Plans (GAPs). A systematic process of conducting gender audits has given ICIMOD the opportunity to consider the extent to which it is walking the talk on gender. In addition, efforts have been made institutionally to improve gender balance in hiring and staffing and to implement gender sensitive policies that make the work environment more supportive to staff and to bring partners on board on issues of gender through institutional and contractual arrangements that stipulate a gender focus.

In KIIs, several staff noted their appreciation of **ICIMOD as a “gender friendly”, safe and considerate space for women to work** and appreciated the access to certain facilities, in particular creche and transport facilities after hours. However, **the staff survey and interviews highlighted a number of issues including in particular the lack of representation of women, especially in senior management and technical roles.** For example, from the respondent demographics of the staff survey it is evident that there are fewer women in technical roles (29 women < 57 men) whereas there is a more even split in institutional management roles (25 women < 32).<sup>25</sup> Similarly there are also more men represented than women across different age groups.<sup>26</sup>

In response to a question on whether staff had experienced any discrimination because of their gender, ethnicity, caste or national origin whilst working at ICIMOD, while the majority of staff noted that they had not experienced, a small percentage noted that they had.<sup>27</sup> In addition, staff responses to the survey and interviews, also highlighted gendered aspects of institutional culture related to the use of designations and titles, as areas that required further management attention.<sup>28</sup> **Staff noted the need not just for greater representation of women but also diversity in terms of nationality and ethnicity and staff group.**<sup>29</sup> The QQR notes that ICIMOD is aware and continues to make efforts through its hiring to ensure greater diversity and representation in terms of gender and also RMC representation but faces challenges in hiring talent from across the region due to concerns related to relocation to Kathmandu as well as cultural resistance to women moving outside their home countries to work in some contexts.<sup>30</sup>

---

<sup>25</sup> See responses to Staff Survey Qs. 6, Annex 15

<sup>26</sup> See responses to Staff Survey Qs. 8, Annex 15

<sup>27</sup> See responses to Staff Survey Qs. 81 Annex 15. Out of a total of 132 responses, 113 said they had not experienced any discrimination and 19 noted that they had.

<sup>28</sup> See responses to Staff Survey Qs. 81-82 Annex 15

<sup>29</sup> See responses to Staff Survey Qs. 85 Annex 15

<sup>30</sup> Staff KII

In KILs, **staff expressed appreciation for the strong commitment to gender from senior staff and management but felt that this commitment “evaporates” at other levels.** While accountability and responsibility for gender integration is clearly outlined in the Gender and Equity Policy and in the key results areas of staff at different levels, in practice this is not seen as being effective. While the creation of a dedicated Gender Unit has been instrumental in embedding a consideration of gender issues within the organization and is well staffed with the right capabilities in this area – however, the unit’s work is quite siloed and not adequately integrated across the regional programs and themes.

At a programmatic level, **ICIMOD’s institutional commitment to gender and social inclusion is reflected through increased evidence of work, particularly on gender, across some programs and initiatives.** Notable in this regard are on-going efforts under the cryosphere program to work with local communities on cryosphere monitoring<sup>31</sup>; gendered implications and dimensions of ICIMOD’s work on community based early flood warning systems (CBFEWS)<sup>32</sup>; and more recently innovative work on the social and gender dimensions of production in the brick kiln industry efforts to introduce/integrate socio-economic, gender and equity perspectives in the brick kiln industry in Nepal.<sup>33</sup> These and other examples – notably work on integrating GESI in natural resource planning working at the community level with municipalities in rural Nepal<sup>34</sup> - demonstrate **an increased institutional willingness and capacity to engage more deeply on issues of gender and to some extent social inclusion within the traditional domains of ICIMOD’s main themes and programs. However, as above, work on social inclusion is limited.**

From a results and impact perspective, **despite the examples above, work on GESI within the organization is thin and not consistently considered across themes and programs at the design and implementation stage.** Staff in interviews and the survey, noted that GESI was a weak area in ICIMOD and there was a need to pay more attention to social inclusion issues such as caste, class, gender, ethnicity etc that are of concern and relevance to RMCs.<sup>35</sup> In particular, a few staff noted that the institutional and programmatic focus within ICIMOD over time has increasingly focused on the hard and natural sciences to the neglect of the social sciences. To quote a staff member – “in ICIMOD, the technical scientists take a lead in a lot of the programming work and not the social scientists.” Staff also noted for example that while there is increasing discussion and attention to social and economic dimensions in review and planning processes across the initiatives, but that there are gaps in terms of content, tools and staff capabilities to be able to do this effectively.

In terms of areas for improvement, staff survey responses noted the need for increasing research and monitoring on GESI and the need to move beyond a focus on women to include additional forms of inclusion. Staff also noted the need for greater clarity on ICIMOD’s approach to GESI in relation to its partners and more broadly to the RMCs. **Tracking of data results on GESI that goes beyond counting numbers is an area that requires particular attention and focus – especially as ICIMOD acknowledges the need for better disaggregated data on this issue in the region. Finally, there is significant scope for ICIMOD to strengthen institutional learning and reflection processes that more concretely consider lessons and best practices on GESI including through its own programming in this area.**

It is important to note that **ICIMOD is well aware that GESI is an area that requires particular attention.** In 2020, IOD PARC conducted a Gender Audit of ICIMOD, which

---

<sup>31</sup> ICIMOD. 2020. Working with the Community on Cryosphere Monitoring

<sup>32</sup> ICIMOD. 2014. [Flood Early Warning Systems in Nepal; A Gendered Perspective - ICIMOD Working Paper 2014/4](#)

<sup>33</sup> ICIMOD 2019. [Towards An Environmentally Just and Socially Equitable Brick Industry in South Asia](#)

<sup>34</sup> ICIMOD 2020. [Gender and Social Inclusion in Natural Resource Planning](#)

<sup>35</sup> See responses to Staff Survey Qs. 85 Annex 15



included ICIMOD's institutional capacity to implement its gender mainstreaming strategy internally, including organizational culture. Its findings indicate that overall, institutionally, gender and gender equality are appropriately addressed in ICIMOD's strategies and policies. However, while inclusive development and social inclusion are mentioned in policies, there is a lack of a systematic integration of social inclusion. For example, although ICIMOD's Gender and Equity Policy 2020 states that "ICIMOD considers gender and equity centrally in its work", the approach focuses on a "gender transformative approach" for gender equality. Similarly, the gender and equity policy is operationalized through the "GAPs", not "GESI" Action Plans. One of the key constraints that has been identified by the audit and confirmed by the review through interviews and the staff survey is the lack of dedicated funding for GESI - that has been an impediment to any institutional or program efforts at working on the issue in a concerted way. **The ICIMOD Gender Audit 2021, makes several observations and has recommendations in key areas related to policy, programs, institutional level and partner level which should be prioritized as areas for immediate attention in the context of planning and strategy for the next MTAPV.**<sup>36</sup>

**The QQR acknowledges that social inclusion is a complex, challenging and often politically sensitive issue in the HKH region.** In this context, a key starting point for ICIMOD is to **understand the critical social inclusion and exclusion issues that mountain communities are facing across the 8 RMCs and how these relate to/intersect with ICIMOD's core areas and themes of work.** The HKH Call to Action and more recent paper on Covid-19 provide some insights on this but a more in-depth review of existing and recent academic literature on the issue as well as a reflection of work done within ICIMOD to date would be useful first step in articulating ICIMOD's views and position on social inclusion as it relates to mountain communities in the HKH. There may be a number of issues that ICIMOD could consider. For example, multi-dimensional poverty data and indices could be a useful starting point i.e., for ICIMOD to identify what are the main dimensions of poverty in mountain areas compared to other areas and between mountain communities and the rest of the country. Other issues which ICIMOD may look into are migration trends and its impacts in the region (the who / what/where /why and implications for the mountain communities (i.e., increased feminisation of labour and post-covid return migration and the lack of jobs and opportunities especially for male youth in the region).

Getting to grips with what data already exists on social inclusion within the 8 RMCs, would then provide a foundation for understanding the 'art of the possible' i.e. where ICIMOD's comparative advantage can be used to help address a number of these issues. **The QQR is not suggesting that ICIMOD embark on conducting large scale questionnaire or multi-country baseline surveys, but to use existing data from existing indices, census data and other national, regional, global datasets to set up a framework for monitoring and tracking trends and developments.**

The QQR acknowledges that while social inclusion, poverty reduction and alleviation, health etc, are not a core mandate for ICIMOD, however, **tracking data and monitoring trends in these areas can be a critical contribution that ICIMOD can make as part of wider social-economic monitoring in the HKH.** At a programmatic level, ICIMOD needs to consider putting in place standard operating procedures (SOPs) with reference to site selection for pilot and resilience work and consider the ways in which existing socio-economic vulnerabilities and exclusion, affect access to resources, markets etc, for different groups when proposing strategies for scaling. This would need to go alongside broader institutional efforts – through greater focus on policies and tools etc - to expand the focus from gender to social inclusion.

## GESI – conclusion and looking ahead

In summary, the review finds that while **ICIMOD has a strong commitment to gender mainstreaming in its work and has made significant progress in integrating gender (in**

---

<sup>36</sup> See further detail in Annex 9

**particular) institutionally and programmatically – more systematic integration of gender and in particular social inclusion is needed at strategic, institutional and programmatic level.** As an inter-governmental organization that is committed to sustainable development in the HKH region – ICIMOD needs to more purposefully acknowledge the need for greater attention to issues of gender and social inclusion in its own work. This is already a stated action area in the HKH Call to Action.

In the context of **Covid-19 and its impacts in the HKH region, issues of GESI are front and centre and as a part of the MTAPV planning process, it is an opportune time for ICIMOD to explore how it can engage and or support RMCs more strategically** and purposefully on these issues. This could take several forms including sharing of knowledge, approaches and solutions – drawing on existing programmatic experience and learning as well as by drawing on its strong networks and partnerships with academic, scientific and civil society organisations in the region and globally. One potential area for exploration in this context is data. **The paucity of disaggregated data on GESI is a key gap identified by ICIMOD in the HKH region – data that could be critical in helping governments design more effective interventions in the mountain regions.** As described above, a key starting point for ICIMOD would be to come to grips with the kinds of issues that mountain communities are facing and to collate where possible from existing data sources disaggregated data on GESI to help establish a monitoring baseline to support policy and program interventions may be considered. **Finally, recognising ICIMOD’s own institutional mandate, remit and its limitations, there is untapped scope for ICIMOD to more effectively leverage its networks and relationships with partners that are working on the ground on GESI to plug knowledge and capacity gaps institutionally.**

At an institutional level, there is a need for ICIMOD to more **effectively institutionalise gender and social inclusion across the institution at organisational and programmatic level matched with necessary human and financial resources.** The review finds that the findings for the Gender Audit and its recommendations are valid and should be considered as areas for immediate attention as ICIMOD initiates planning and strategy development of MTAPV. At an operational level, there is need to think through how the Gender unit and its staff can be more effectively utilized and inducted into policy and planning processes more consistently and look to adapting existing policies and tools so that they explicitly address social inclusion. Any effort to do so much be matched by dedicated and committed resources for GESI. In this context, ICIMOD may consider IWMI’s recently developed [Gender and Inclusion Strategy 2020-2030](#)<sup>37</sup> that seeks to – integrate GESI across all of IWMI’s key program pillars – as a point of reference for discussions.

**The QQR recommends that ICIMOD consider integrating GESI as a key operating principle for ICIMOD and put this to the Board of Governors for agreement.** This would ensure that there is not only strategic attention to and commitment to the issue but also to ensure that necessary resources (beyond capacity building) can be allocated and made available and that there is an increased focus on research and evidence development with respect to GESI.

---

<sup>37</sup> IWMI’s Gender and Inclusion Strategy calls for a bold and transformative approach to addressing systemic and structural causes of gender inequality and exclusion. Through a strategic focus on bridging data and knowledge gaps, developing R4D interventions to support more inclusive water institutions and governance systems, and through strategic partnerships to mobilize inclusive water investments, the strategy will strive to ensure greater attention to gender equality and inclusion across its program areas – water, food and ecosystems; water, climate change and resilience; and water, growth and inclusion – and to its fourth crosscutting program pillar on digital innovations.

## 7. Results and Impact

This section should be read in conjunction with Annex 16 which uses 4 cases to explore issues relating to results and impacts:

- Case 1: HKH Assessment and Call to Action Process
- Case 2: Renewable Energy and Energy Efficiency Capability for the Hindu Kush Himalaya (REEECH)
- Case 3: The Dasgupta Review and Influence of SANDEE
- Case 4: Impact Monitoring, Scale up and Policy Influence

These 4 cases help to inform the recommendations relating to the development of ICIMOD as a Knowledge Service (discussed below); for using ICIMOD's intergovernmental status to link global and regional work on an issue of importance for SDG attainment; using established academic networks beyond ICIMOD staff for high quality research and dissemination purposes and issues of sustainability and scaling for ICIMOD's work directly, with RMCs and with partners.

### Strategic Result Framework for MTAPIV

The current structure of ICIMOD (based on the MTAPV operational matrix (page 3) has a structure of Regional Programmes (6) and 4 Thematic Areas. Not all the regional programmes have the same operational characteristics with RP1, 2 and 3 being more 'on the ground' and RP4, 5 and 6 being more data focused (although RP4 has 'on the ground' work as well). Whilst the current SRF, MTAPIV and website give primacy to Regional Programmes discussions with ICIMOD staff highlight the challenge of the current approach for Thematic Inputs (and KMC results). The RP focused structure does not draw out easily how results are achieved, methodological challenges and the multi-disciplinary nature of much of the work. Table 7.1 below highlights some of the different characteristics of regional and transboundary programmes. Enabling individual initiatives<sup>38</sup> to be characterised could aid learning around how and why different processes e.g. or sustainability / scaling are required going forward. The approach to the RPs and their initiatives varies and going forward it may be helpful to consider more carefully when an initiative operates as a regional programme and where it is focused on Transboundary work. Table 7.1 below highlights possible operation differences between these the differences between Regional and Transboundary work.

Currently ICIMOD prepares summaries of each initiative using an agreed template. However, this summary template is somewhat limited in the scope of information presented to the reader. To ensure that initiative summaries are coherent and sufficiently detailed for sharing with partners, stakeholders – and in the spirit of transparency – publishing on the web site a possible revised template is presented in Annex 4 (Figure A4.4) for consideration during the preparation of the next Strategic Results Framework. A comprehensive summary can be an important document for future evaluative work.

---

<sup>38</sup> Currently MTAPIV uses Regional Programmes / Initiatives (some people talk about projects) but going forward may be simpler to talk only about initiatives – some of which are linked in content whilst other are stand-alone. What is important is that, as indicated previously, that there must be a strong linkage to Strategic Research Questions (and hence impact areas) that are developed based on articulated demands from the CtA at least for MTAPV.

**Table 7.1: Comparing regional and transboundary initiatives**

Focus	Spatial	Temporal	Governance	Type of Partnerships?
<b>Regional Type Initiatives</b>				
Issues based e.g., tourisms, air pollution, cryosphere	2 or more countries that do not have to share a common border	Can operate in each country at a pace to suit local context and opportunities.	Primarily linked to national / sub-national policy / decision making. Often looking for sustainability / embedding to be achieved.	Partners can operate in different countries at speeds to suit context. Can vary partners for 'scale-up' over time.
<b>Transboundary Type Initiatives</b>				
Landscape / river basis i.e., defined boundary	2 or more countries sharing a common border or within the same river basin	Work needs to go at similar speeds in each country to enable coherent management of site / river basin.	Can include national / sub-national decision making, but also considerations of transboundary agreements over time in multiple sectors. Often looking for scaling from one site to many.	Partners need to work together on issues including Co-design, monitoring, communication & scale-up on site & beyond. Long term engagement with high input from RMCs as well.

Annex 4 presents the current Strategic Results / Indicators and how the Regional Programme outcomes and indicators are cross linked. The 7 Strategic Results, indicators and the contribution from each of the 6 RPs is also given in Annex 4. **It is not possible either in the summary nor at the individual RP / initiative level to explicitly identify the contribution of each theme.** This is a major point of contention from staff interviews (KIs and FGDs) as thematic staff feel that their work is not recognised and hence valued. The same issue was also raised by KMC in that the 'visibility' in the results framework of its work was limited. Whilst numbers are small (mainly due to the focus on pilot scale livelihood work) it is important that **at a minimum** disaggregation should be by men/women. The technical staff survey indicated that whilst around 50% of staff were involved in the initial level results framing this was down to around 20% for the overall SRF.<sup>39</sup> As discussed in the GESI Section above consideration should be given to further disaggregation (and work on site selection) that considers critical issues of marginalisation for mountain communities – including youth.<sup>40</sup> Another key point is around the 'quality' of outputs. For instance numbers of papers is only one measure, but what about the quality of the publication e.g. journal, access, relevance to wider stakeholders etc. So any indicator using publications should consider the quality / reach and relevance of the journal.

The MEL Framework for MTAPIV (2018) provides detailed guidance, along with the MEL Guidelines and Tools (2019) for regional programmes and initiatives. This includes details on 'reach' and Box 7.1 lays out the way that ICIMOD understands Direct and Indirect Reach.<sup>41</sup>

**The current structure does not draw out sufficiently the way that individual initiatives link through to the institutional results and hence, in the staff survey and discussions, staff didn't always know how and where their contribution linked to the institutional objectives.** The MEL Framework Figure 1 is highly linear and starts from the Initiative up to

<sup>39</sup> Staff Survey Qs 65-67, Annex 15

<sup>40</sup> One of the UN Major Groups: <https://www.unep.org/civil-society-engagement/major-groups-modalities/major-group-categories>

<sup>41</sup> This approach is similar to that used by UK-DFID (now FCDO) for the measurement of numbers of beneficiaries from its International Climate Fund.

the Institutional level. Whilst this may be useful for tracking purposes it appears to give the primacy to the Initiatives and only through aggregation at the Regional Programme level to the Institutional results / impacts. This is not to devalue the work of the SPME on monitoring but to consider a reframing of the focus of the portfolio so that all initiatives can see their potential contribution at the Institutional level. Indeed the work by SPME on SERVIR was recognised (in 2017) for work primarily undertaken under MTAPIII.

As part of the recommendation on organisational effectiveness for the ICIMOD Strategy and MTAPV examining how each intervention is linked to the institutional results will be vital. This could be through the design of a multi-layered evidence and results framework that focuses on the whole whilst nesting in, through **an actively curated portfolio approach**, current and future interventions. ICIMOD's staff survey<sup>42</sup> indicated that staff considered that the 3 different ICIMOD

strategic impacts had a different focus for individual work, ICIMOD as an institution and for the RMCs / Call to Action (see Figure 7.1 below). This highlights a challenge not only for the SRF itself but also for tracking of impacts – is ICIMOD looking in the right place? ICIMOD has a Theory of Change (as do the Regional Programmes) but the reality of how to translate work on improving ecosystem services to Poverty reduction is a critical challenge. This challenge means that a results framework for the Strategy (to 2030) and the MTAPV must be rooted in clarity of how Ecosystem Services contribute vitally and practically to reducing poverty i.e. Sustainable Mountain Development. Whilst ICIMOD cannot address all issues key areas such as food security may lend themselves (in short term) to helping to build the bridge from intervention to RMC utilisation.

This approach could lead to, where appropriate, ICIMOD examining how it can use relevant SDG indicators to monitor its own work – and where it can provide robust evidence for RMCs themselves to report on key indicators including, for example the Mountain Green Cover Index.<sup>43</sup> **Annex 6 presents, for information an initial analysis of how the ICIMOD's current portfolio of work may contribute to the 9 mountain priorities for SDGs outlined in the CtA.**<sup>44</sup>

## ICIMOD and Impact Measurement

ICIMOD has over the time of the MTAPIV increased its attention to the issue of impact measurement. ICIMOD has a diverse set of initiatives that operate fairly independently of each other despite attempts e.g. through the Project Monitoring Committee to address this

### **Box 7.1: Direct and Indirect Beneficiaries (From ICIMOD MEL Framework for MTAPIV (2018))**

**Direct reach:** Those individuals, households or institutions that benefit through their direct engagement with ICIMOD or through their involvement in ICIMOD's programme implementation. These are people or institutions ICIMOD can physically verify because they have direct contact. Examples include individuals who have participated in pilot activities or capacity-building events, or institutions involved in the implementation of ICIMOD's programme activities.

**Indirect Reach:** Those individuals or institutions influenced by ICIMOD either through the organization's direct reach beneficiaries or through other means. These are people and institutions ICIMOD cannot physically verify because the organization may not have direct contact with them. Examples include communities reached through upscaling or replication or through policy development, or institutions not directly working with programmes but using ICIMOD products and services.

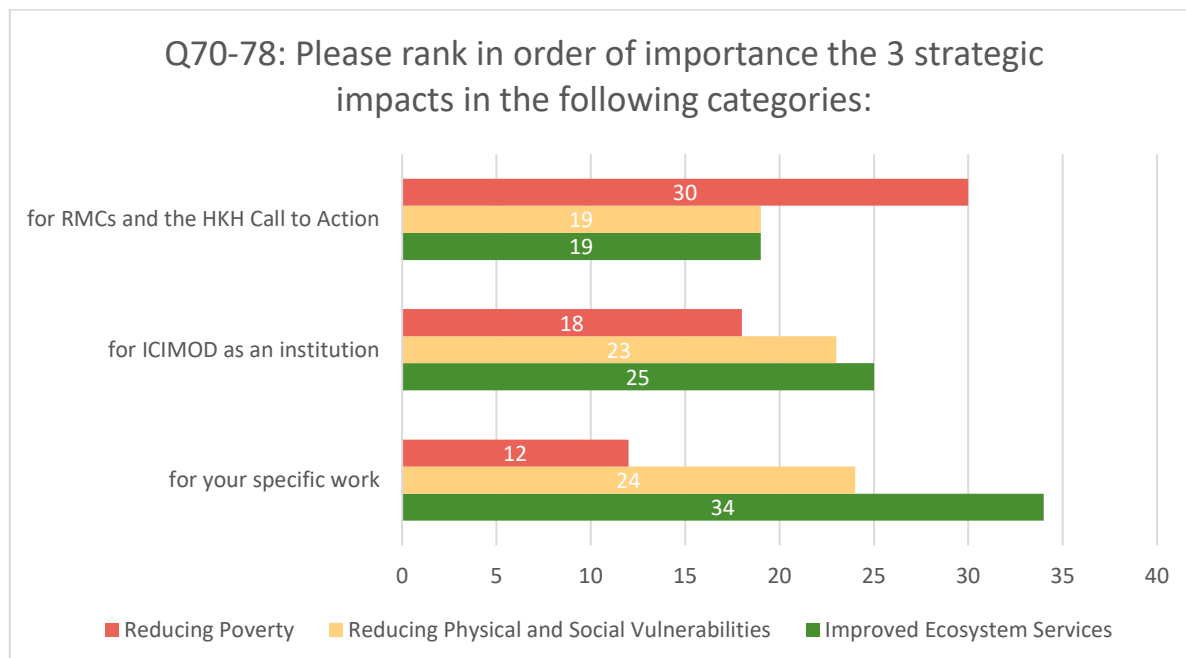
<sup>42</sup> See Annex 15 for material compiled from question 70 - 78

<sup>43</sup> <https://unstats.un.org/sdgs/metadata/files/Metadata-15-04-02.pdf>

<sup>44</sup> Annex 3 of the Call to Action.

issue. The Project Monitoring Committee was conceived to enhance technical learning / methodological development to be led by Thematic staff. However from discussions with several staff this has not happened in an open manner with staff becoming defensive rather than enabling collegiate learning.

**Figure 7.1: Importance of ICIMOD 3 strategic impacts to different levels (compiled from staff survey).**



**Discussions with SPME staff and technical staff highlight the complexity of the arrangements for measuring the impacts of programmes.** These range from scientific studies e.g. springsheds, regional studies (past work on Poverty and Vulnerability Analysis<sup>45</sup>) and programme / initiative impact measurement including work on value chains in several countries. Annex 4 presents an analysis of the current ‘impact’ studies that have been or are planned for initiatives under the RPs. There is a diverse mixture of work with some of it being highly targeted whilst other work provides a contextual snapshot (see below regarding baselines). The technical staff survey rated the key documents from ICIMOD that they thought would be influential for policy making<sup>46</sup>. Overwhelmingly the HKH Assessment is seen as influential followed by the HKH CtA and the Covid-19 policy document. Of other technical documentation the glacier inventory was rated highly.

**One could argue, rightly, that the 2017 completion of the Hindu Kush Assessment provides a regional baseline across critical domains from biodiversity, cryosphere to poverty and food security. Whilst ICIMOD will not, over the next 5 – 10 years, work in all areas covered by the HKH-Assessment it may be useful in enabling future ICIMOD contributions to the evidence base and the ‘Call to Action’ process to become more visible.** The CtA could be treated as a first stage in the ‘demand’ process for MTAPV, but these demands then need to be turned into ‘researchable questions’.<sup>47</sup> To enable this greater clarity on the roles, responsibilities, methodologies and ethical oversight of the approaches to impact measurement in studies, processes, capacity building and at an institutional level

<sup>45</sup> ICIMOD Poverty and Vulnerability Assessment work <https://www.icimod.org/initiative/poverty-and-vulnerability-assessment-pva/>; Gerlitz, J.-Y. et al. Poverty and vulnerability assessment – A survey instrument for the Hindu Kush Himalayas. (2014) <http://lib.icimod.org/record/29972>

<sup>46</sup> Qs 87-89 Annex 15

<sup>47</sup> A point noted in the KII with the EC-JRC i.e. how to turn policy evidence demands into researchable questions often to be carried out by multi-disciplinary teams.

should be undertaken. Clarifying the ‘art of the possible’ with the resources available will be important. 4 cases focusing on different types of impact are given in Annex 18.

## Understanding Baselines for attribution of results and impacts

In the results and impact area there is a need to differentiate between a baseline that provides an assessment of the general context in which the initiative is to take place and one that provides a true baseline for the initiative itself. The latter would be focused on the key areas, where from the Theory of Change, measurable change should be seen if the initiative is a success. For the former see the very interesting work undertaken on Brick Kilns in Pakistan.<sup>48</sup> This provides a vital picture of the issues that face the owners and workers in the brick kiln industry but to not specifically enable the immediate activities of the programme to be identified. The work to identify productivity gains in Nepal<sup>49</sup> could be an example of a more focused baseline / endline type approach focusing, in this case, on a single topic.

In the SRF for the 7 Strategic Results ICIMOD often provides a baseline for MTAPIV e.g. in the MEL Framework 2017. In practice this is confusing as this is the final situation for MTAPIII. The type of ‘counting’ focused results and their accompanying indicators probably do not warrant a baseline and neither is direct comparison with the previous MTAP results appropriate given major differences in initiatives over each MTAP implementation period. For example the Himalica initiative ran from December 2012 to 30 April 2018 with a budget of USD 11,800,526 (see Table A4.2 Annex 4). In the future it may be that a more ‘narrative’ statement of the situation relating to particular Institutional results would be more appropriate and the trends over the MTAP period be monitored. This would be part of the design (**Recommendation MTAPV-4**) work for the new approach to an Institutionally focused multi-layered results and evidence framework.

**Box 7.2: Evidence impact: Seven ways that development decision makers use evidence**  
(<https://www.3ieimpact.org/blogs/evidence-impact-seven-ways-development-decision-makers-use-evidence>)

- Change policies or programmes:
- Close a programme:
- Improve the culture of evidence use:
- Inform discussions of policies and programmes:
- Inform global guidelines and policy discussions:
- Inform the design of other programmes:
- Scale up a programme

## Using Evidence – including evaluation data

As Box 7.2 indicates there are at least 7 ways that development decision makers. Whilst the main focus would be RMCs the ISG members may also wish to reflect on how and where they may also be able to use evidence produced by ICIMOD. This could be for proposal development (beyond ICIMOD), for funding allocation and for their own policy engagement through UNFCCC, CBD and other relevant global mechanisms. ICIMOD is potentially producing evidence that could, if targeted correctly be used in all 7 of these areas. As highlighted in Annex 5 the European Commission Joint Research Centre developing a strong culture of evidence use (by scientists and policy/decision makers) is a vital part of the evidence to policy to implementation process. Through ICIMOD’s own processes it can help to build trust with RMC agencies. This can be through joint design (e.g. of strategic research questions), through joint analysis and validation (workshops and field based) and through building of institutional and personal networks e.g. through capacity building processes. Attention, including resourcing is vital to enable effective evidence use over time. Lessons from the transboundary programme also indicate that early

<sup>48</sup> Community of Evaluators (2019). Baseline Survey of the Brick Kilns of Pakistan.

<sup>49</sup> Activity Completion Report: Productivity Gain Survey of Brick Kiln (report with QQR team only shows the questionnaire and process). Not dated.

co-creation of approaches with partners and other stakeholders can bring longer term benefits in understanding and therefore future evidence informed actions.<sup>50</sup>

ICIMOD has a large body of evidence generated since its inception, and access to wider evidence on issues affecting the HKH. All new initiatives (and probably some existing but long-term initiatives) should ensure that their Theory of Change and hence initiative design is rooted in an up to date understanding of the existing evidence. Annex 4 (Figures A4.2) presents a diagram of how synthesised evidence should be incorporated into all initiative design. Using this approach can also enable the building of 'interim' knowledge updates between the original HKH-Assessment and any follow-on study e.g., for 2030. In fast moving areas this may be an important and practical tool for the institution to use – and publish the findings.

## From Capacity Building to Joint Learning?

**ICIMOD has had a strong focus on capacity building with partners, with RMCs and for its own staff.** The staff survey was clear that considerable learning for ICIMOD staff takes place in-house (for technical staff). More formal training is used for the Institutional staff.<sup>51</sup> Staff indicated that the opportunities for training were often agreed by the line manager and that this was not systematic or transparent. Promotion also requires forms of competitive application (including with external applicants) and is not always transparent in its operation from the staff survey. Balancing a range of policies e.g. competitive recruitment, with inclusion across RMCs and ability to retain highly skilled staff can be problematic. Kathmandu is not an easy place in which to live (pollution and high cost of accommodation) and was seen e.g., by Chinese informants as not necessarily a good career move for junior / middle ranking scientists. Packages for non-Nepali staff can also cause resentment amongst local staff as indicated in the staff survey e.g. paying for education for international staff and not local staff.

**In discussions with ICIMOD staff what has become clear is that capacity building with partners and RMC agencies should not be seen as 'on-off' trainings – especially in areas where 'high-tech' skills are being developed. The risk is that if a small number of people are trained that they become 'highly marketable' and are likely to leave for more highly paid jobs in the private sector.** The lessons from SWaRMA, and mentioned by other staff, is that capacity building should be a process – and this includes thinking about how capacity can continue to be built over time e.g. by building capacity / curricula say in universities to continue to train young people for future roles. Increasing the pool of trained staff in ICIMOD, partners and RMC ministries reducing the risk that people leave quickly and can results in solid implementation and increasing ownership by relevant organisations. The increased use of tracer studies to track what happens after formal (especially intensive / long term) capacity building work is to be welcomed. Feeding the learning back into designing on-going processes focused capacity building is then critical.

ICIMOD will continue to play an important role in Capacity Building – including the sharing of learning from more localised development initiatives. **The use of internet-based tools for this should be increased – especially for professional training, but the usefulness of 'study tours' and community learning should not be underestimated.**

For ICIMOD itself it should consider the working environment to build up the skills and country composition of staff (technical, managerial, and administrative). Developing and resourcing a training strategy should be part of the Performance Management System to ensure that competitive hiring processes can, where appropriate, including the / necessary support to build competency.

---

<sup>50</sup> Rajan Kotru, Nawraj Pradhan, Bandana Shakya, Serena Amatya (2020). Beyond boundaries. Contouring transboundary landscapes in the Hindu Kush Himalaya. ICIMOD.

<sup>51</sup> Annex 15 Qs 20 (Technical staff) and Qs 31 (Institutional Staff)



SANDEE and the HUC are important resources managed through ICIMOD. Ongoing support in this area is vital. ICIMOD could increase its focus on working with to be able to draw on the resources within SANDEE and HUC to contribute to the wider work of ICIMOD and sharing of research findings more broadly. This could be through developing a specialism (building on existing work) at ICIMOD in Synthesis Reviews and the design of a 'working paper' series for pre-print and early publication of results with potential for direct contribution to Sustainable Mountain Development.

**A small point but one that might require some attention is the language of 'capacity building'.** This term is well entrenched but perhaps the time has come - when working with RMCs and partners - to talk about Capacity Enhancement/ Joint Learning? During the lifetime of ICIMOD there have been significant positive changes in capacity in RMCs and in partners. Partners, and RMC agencies increasingly have knowledge which they can share with ICIMOD. **So, developing a culture of Shared Learning and Capacity Enhancement may be something to explore for MTAPV.**

## Results and Impact: Enhancing ICIMOD as a Regional Mountain Knowledge Service

In the 2017 Strategic Results Framework (SRF) Section 4 lays out ICIMOD's Strategic Orientation with 4.1 indicated that ICIMOD is a 'regional knowledge hub on mountains' and that it sees 'its space' as linking knowledge generation with policy and implementation. The SRF further (section 4.3.3) also acknowledges that 'effective knowledge management and effective communication are fundamental to achieving ICIMOD's objectives'. The centrality of Knowledge Management and Communication is recognized but it is worth noting that the Knowledge Management and Communication strategy dates from 2014, the publication policy from 2015 and ICIMOD's data policy from 2013. Whilst ICIMOD is current operating to some degree as a knowledge hub there are perhaps areas for further development of the organisation as a 'demand-led' service (see discussion below) that provides independent evidence for RMCs (and other stakeholders at regional and global level). Furthermore concerns were also raised about the internal approach to Knowledge Management with KII's indicating that internal cross-learning remained weak.

### Box 7.3: Joint Research Centre (JRC) – EU Science Hub

The Joint Research Centre (JRC) is the European Commission's science and knowledge service which employs scientists to carry out research in order to provide independent scientific advice and support to EU policy. (See Annex 5 for more detail).

Badged as: The European Commission's science and knowledge service.  
<https://ec.europa.eu/jrc/en>

**To psychologically create a 'break' with the current approach to internal knowledge management and external knowledge management / brokering the QQR proposes that ICIMOD conceives itself more as a 'service provider'.** This approach would link to the current Statutes (Chapter II, Article 3.1): 'The Centre shall be an autonomous international institution at the **service** of the States belonging to the Hindu Kush-Himalayan area.' (*emphasis added*) The value of 'service' is that it recognises a more dynamic relationship between ICIMOD and the RMCs as well as other partners. The scope of this 'service' will need to be identified clearly (see below on types of demand) and resourced in an appropriate manner. A Knowledge Service can, as shown in Box 7.5 be responsible for generation of new knowledge, synthesis of existing knowledge, encompass a monitoring function and be responsive to a range of requests over time.

A well-resourced and visible Knowledge Service could provide a 'go to' location (the Knowledge Centre of Choice) for other agencies e.g. UNDP / FAO who are accredited to the Green Climate Fund to use not only to aid well evidence RMC focused proposals, but also to

provide long-term (paid) technical ‘back-stopping’ and monitoring services. The Knowledge Service would then be complementary to the programme management skills that these agencies bring to delivery whilst acknowledging the unique skill set that resides within ICIMOD. Ensuring that the RMCs and wider agencies understand how any new service operates would be a key task in the next year or so as the Strategy and MTAPV are developed. This can build on the HKH Call to Action but also help create opportunities for regional monitoring and, where appropriate, on the ground field trials of new innovations linked to large scale area-based development / adaptation programmes. Developing the current ICIMOD ‘Open Data’ approach to foster wider data sharing is particular important (see Box 7.4)

### Knowledge Management for the future?

The current Knowledge Management and Communication team (KMC) as currently constituted is heavily focused on the communications including branding, publications, social media and the web-site management. The drive for ‘visibility’, whilst important, only represents part of ICIMOD’s Strategic Orientation.

The KMC team now numbers 28 staff members (as staff list May 2021) plus access to contractors if required. The team is diverse, and some members are embedded within individual Regional Programmes to support work – often around editing, publication design and production.

#### **Box 7.4: Open Data, research protocols and building trust**

ICIMOD has an important **Open Data policy** which enables the sharing of a range of data with RMCs, scientific community and other stakeholders.

Building trust for data sharing can start from ICIMODs role in **preparation of research / data protocols** and their agreement by countries and institutions.

Trust building is vital, and some topics may be easier to engage with e.g. transboundary biodiversity, DRR, cryosphere changes and should be the priority focus.

#### **Box 7.5: Developing a Regional Mountain Knowledge Service**

A **knowledge hub (or Service)** is an institution whose primary function is to consciously and systematically identify, create, represent, distribute and enable the adoption of insights and experience.

**Knowledge management (KM)** comprises a range of strategies and practices used to identify, create, represent, distribute, and enable adoption of insights and experiences. Such insights and experiences comprise knowledge, either embodied in individuals or embedded in processes or practice. Note this can cover both ‘internal’ organisational KM and ‘external’ KM.

Websites, publications, social media, document database management and internal management of knowledge resources are **tools to aid communication**.

Given the current centrality of ICIMOD as a ‘regional knowledge hub’ on mountains in the SRF the evidence generated through the QQR suggests that there has been some slippage on the varied roles and responsibilities that might be covered by Knowledge Management and Communication. If ICIMOD is to fulfil its stated aim of being a regional mountain knowledge hub (or preferred new term ‘service’) on mountains, then Box 7.5 provides some key areas that should be considered – covering internal and external knowledge management. The former is vital to generate a real culture of shared learning (with RMCs and with wider partners) amongst staff of highly varied disciplinary and working cultures.

## Understanding Demand?

As part of the work of ICIMOD as a regional mountain knowledge service it will need to be able to explicitly respond to different forms of demand from RMCs in particular. Table 7.2 highlights the characteristics of these and possible way to plan and respond.

If ICIMOD is to be **an accessible** regional mountain knowledge service with a focus on mountains (a specific but diverse thematic remit) then it will need to consider how it can provide services to the wide range of potential users of the knowledge generated, synthesized and communicated. These can range from decision and policy makers, the academic / research community, media, local communities within the region and globally. For the purposes of understanding the most appropriate ways of delivering its work the rise of internet technology (and its wider use during the Covid-19 pandemic) ICIMOD will have to understand the needs of RMCs, Partners and other stakeholders – including building of relevant networks and relationships. Demand led does not mean that the quality and independence of the science is compromised, but that within the overall ICIMOD strategy the research (new and synthesis) is directed to answer substantive ‘real-life’ questions. ICIMOD should, alongside the main work, also undertake, based on professional expertise, horizon scanning of emerging issues, tools, methodologies and data sources.

**Table 7.2: Understanding Demand (who, what, when and response mechanism)**

Type of Demand	Who initiates?	Frequency?	Response Process
<b>Strategic Priorities</b>	ICIMOD / RMCs with key stakeholders	For MTAPV plus annual update based on learning	MTAPV planning / resourcing
<b>Short term response to disaster</b>	RMCs (and possibly sub-national)	Unplanned natural disasters / floods / landslides etc	Rapid with ICIMOD Management <b>disaster response strategy</b> . Creation of ‘draw down fund’ for immediate budget coverage?
<b>Short term request for evidence</b>	RMCs / Global Process	Indeterminate	Rapid with ICIMOD management agreement & resource allocation from Core.
<b>Horizon scanning / new data sources / tool availability</b>	ICIMOD Technical Specialists	Indeterminate	ICIMOD management agreement & resource allocation (including possible application for funding to novel sources?).

For ICIMOD is the ‘regional mountain knowledge service’ an appropriate overarching framework<sup>52</sup> to achieve results and impacts and provides an important complement to the work of ICIMOD as the ‘Secretariat to the HKH Ministerial Mountain Summit, the HKH Science-Policy Forum and the Task Force and coordinate HKH-level monitoring and assessments on a regular basis its key focus for MTAPV.’<sup>53</sup>

<sup>52</sup> This approach would in-line with the ICIMOD Statutes (Revised November 2012) Article 1: Objectives and Article 2: Functions and Activities.

<sup>53</sup> See Ministerial Declaration on the HKH Call to Action 15 October 2020

If so, then consideration to ‘splitting’ the current KMC roles might be helpful. This would mean that a formalized and professional **Institutional Mountain Knowledge Service Strategy (covering internal and external Knowledge management, evidence generation and synthesis, publications, communications, website and Media management)** is developed which, aligns with the process of developing the Institutional Strategic Research Questions (linked to key impact areas and for MTAPV focused on the CtA) with RMCs.

Elements of the **Institutional Mountain Knowledge Service Strategy** (not exhaustive) would be:

1. An **approach to institutional learning and adaptive management** that supports interdisciplinary working in an inclusive manner. This would include a transparent **multi-layered results monitoring framework** focused on the tracking of institutional results delivery supported by a well design portfolio of initiatives. (See A4.2 and A4.3 for a diagrammatic representation of this idea).
2. An **innovation oversight committee** that undertakes rigorous review of proposals for ‘proof of concept’ work (all domains) and covers methodology review. This could focus on issues of work on existing evidence synthesis (where appropriate), human subject ethics (where applicable), review of site selection for investment to ensure that the proposal design has analysed any challenges associated with GESI and considered risks during pilot implementation and for scale-up if applicable.
3. **Understanding of range and depth of influence:** moving beyond the ‘mention’ to clarity on the extent of the influence on the policy, programme etc.<sup>54</sup>
4. A clear **independent evaluation strategy** for ICIMOD that includes both institutionally commissioned work (vital for core funded initiatives) and work commissioned by funding agencies.
5. An **external engagement strategy** that includes building relationships to leverage the opportunities to influence policy and work to agreed impacts of common concern to RMCs and their citizens. Understanding the requirements of RMCs and partners will be vital in this area.
6. A **consolidated communications approach** (media, publications, website, database management...) suitable for a wide range of stakeholders e.g., linking up to date Working Papers with Policy Briefs or stakeholder guide in multiple languages (see Box 7.6).
7. **Clear resourcing** (long term i.e., for the Strategic Framework lifespan) with modifications for each of the MTAPs foreseen.
8. **Identification of the managerial roles and responsibilities** for the Regional Mountain Knowledge Service and its operationalization. This could be linked explicitly to the work of the current RP5 (MENRIS) and RP6 (MKAN) to enable strength and depth of the processes for effective delivery of ICIMOD as a Regional Mountain Knowledge Service with strong links to global processes (e.g., UNFCCC, CBD, SDGs, Sendai)

**Box 7.6: Ten tips for overcoming language barriers in science (Amano *et al* 2021)**

1. Disseminate research in multiple languages
2. Use scientific knowledge sourced from multiple languages
3. Increase the visibility of non-English-language science
4. Translate scientific terms
5. Provide genuine support to non-native speakers
6. Distinguish language skills from scientific quality
7. Consider language balance in scientific activities
8. Acknowledge efforts to overcome language barriers
9. Be considerate of non-native speakers
10. Make use of existing resources and opportunities

<sup>54</sup> Evidence impact: Claiming the influence of studies with confidence:

[https://www.3ieimpact.org/blogs/evidence-impact-claiming-influence-studies-confidence?utm\\_source=Subscribe+to+3ie&utm\\_campaign=2cbe620310-EMAIL\\_CAMPAIGN\\_EUIblg&utm\\_medium=email&utm\\_term=0\\_58acc0a9f7-2cbe620310-305167529&ct=t\(EMAIL\\_CAMPAIGN\\_EUIblg\)&mc\\_cid=2cbe620310&mc\\_eid=a5a7a1909a](https://www.3ieimpact.org/blogs/evidence-impact-claiming-influence-studies-confidence?utm_source=Subscribe+to+3ie&utm_campaign=2cbe620310-EMAIL_CAMPAIGN_EUIblg&utm_medium=email&utm_term=0_58acc0a9f7-2cbe620310-305167529&ct=t(EMAIL_CAMPAIGN_EUIblg)&mc_cid=2cbe620310&mc_eid=a5a7a1909a)

## 8. Review Matrix Analysis

This section provides a summary of the review matrix (see Annex 3 for detailed summary against each question) against the OECD-DAC areas identified in the QQR Terms of Reference. The focus is on the QQR teams considered summary of the evidence and how the review learning informs the IOD PARC QQR recommendations. These may also help to inform the ICIMOD Strategy and MTAPV – both under development.

### Relevance (Matrix questions 2.2.3 / 2.2.5/2.2.6/2.3.8)

#### ***The relevance of ICIMOD's interventions<sup>55</sup> in relation to the declared aspirations of the regional stakeholders stated in the SRF***

The relevance of ICIMOD has probably never been higher given the recent IPCC report documenting the scale of climate change, including monsoonal change in South Asia and changes in glaciers.<sup>56</sup> The RMCs current agreement of a common position for the UNFCCC COP26<sup>57</sup> in Glasgow highlights the increasingly relevant influence of evidence produced by, synthesised by and disseminated by ICIMOD. Whilst direct demands from RMCs in the past have often focused on support for post disaster, there are examples e.g. Bangladesh Ministry for the Chittagong Hill Tracts where ICIMOD has been active in supporting a revised view of the opportunities and challenges there.

Ensuring that there is a strong focus on GESI is important if ICIMOD is to contribute, institutionally and through working with partners, to effective analysis, monitoring and implementation to achieve sustainable mountain communities.

As ICIMOD has matured and in many cases seen by stakeholders as having 'arrived' there needs to be attention on whether the ICIMOD initiatives as currently laid out in the SRF and under the 6 RPs are meeting the needs of the RMCs. The Call to Action identified through country and regional processes (with variable inputs from stakeholders) country actions at national, regional, and global levels as well as 6 urgent actions and 9 mountain priorities for achieving the SDGs in the HKH. Annex 6 provides an initial 'read' on the current ICIMOD initiatives and their alignment. ICIMOD's future strategy and MTAP could increase this alignment more carefully to increase the relevance of ICIMOD's work to support the implementation process of the HKH Call to Action in the next few years. The production of relevant evidence for immediate and future actions will address RMC demands based on a more pro-active engagement, whilst also enabling ICIMOD to function as a Regional Mountain Knowledge Service that produces, synthesises, and communicates evidence in a range of suitable formats for diverse partners and stakeholders to use.

### Coherence (Matrix questions 2.2.7 / 2.4.1 / 2.4.2/2.5.3)

#### ***The extent to which ICIMOD has been able to bring both internal and external coherence to its programme delivery in the region including internal coherence related to synergic efforts of intra and inter regional programmes and initiatives, external coherence related to synergetic and coordinated work with programmes, initiatives and policies***

---

<sup>55</sup> The word intervention is used in the ToRs and is assumed here to cover both regional programmes and initiatives.

<sup>56</sup> See IPCC Summary for Policy Makers: Physical Science Basis (2021) [https://www.ipcc.ch/report/ar6/wg1/downloads/report/IPCC\\_AR6\\_WGI\\_SPM.pdf](https://www.ipcc.ch/report/ar6/wg1/downloads/report/IPCC_AR6_WGI_SPM.pdf) . Specific reference in A.3.3 to changes in South Asia monsoon and B.5.2 to changes in mountain glaciers now and into the future.

<sup>57</sup> <https://www.icimod.org/cop26/hkh2glasgow/>

***in the RMCs and global efforts which are of complementary nature and have significant value for sustainable mountain development.***

**Internal Coherence:** ICIMOD has highlighted its internal coherence by developing the Covid-19 impact and policy responses in the Hindu Kush Himalaya and ensuring, at least for the first wave that a strong duty of care was put in place for its operations. The response recognised gender issues. However, staff were less happy about the response to the second wave in Nepal and are concerned about responses going forward should there be a third or fourth wave given the sluggishness of vaccination in the HKH. Further concerns were raised around the need for ICIMOD to consider future risks from Covid-19 to some of its current work e.g., around tourism and the impacts this may have for achieving impact at any scale. The Covid-19 paper in 2020 also recognised that the post-pandemic response will need to understand and address GESI in a coherent manner.

GESI is often a key component of ISG programmatic and core financing arrangements and whilst for ICIMOD GESI is not an institutional strength there are several staff members with high levels of competency. Designing capacity building processes that target women can be positively received (SWaRMA) and in a range of transboundary and river basin work.

**External Coherence:** ICIMOD is unique in the region and is seen as well-established and neutral. This makes it attractive for several international agencies e.g., WMO and UNIDO to work with as opposed to agencies located under SAARC. Its intergovernmental character is important but at times outsiders are not so aware of this specific character and consider it to have the character more of an NGO. Given that regional cooperation in the HKH can be limited, the ICIMOD regional programme initiatives have provided a new way of building collaboration amongst stakeholders (RMCs, academics, CSO and others). For example, the Upper Indus Basin Network and the Koshi Basin Initiative as well as the process that led to the Call to Action and hence the Ministerial Declaration. The increased visibility of ICIMOD, and key staff, has led to wider contributions to IPCC, IPBES and this aspect could be developed in the future in areas such as food security<sup>58</sup> which are vital for sustainable mountain development.

## Effectiveness (Matrix questions 2.2.1/2.3.2/2.3.3/2.3.5/2.5.2)

### ***ICIMOD's ability to achieve the results and outcomes stated in the SRF and the MTAP***

Despite the effect of Covid-19 and changes in the use only of core finance for implementation of several programmes (especially for RP2 and RP6) ICIMOD has been able to deliver significantly on results and outcomes. However, it should be noted that the 7 Strategic Results are primarily focused on 'things that can be counted' and are often represented as initiative outputs (through the RP Outcome indicators). The 2019 Monitoring, Evaluation and Learning Guidelines and Tools provide detail on the definition of key terms in the indicators and how they should be measured. However, as shown in Annex 4 the structure of RP Outcomes does not mirror the language and form of the Strategic Results and Indicators leading to extra effort in the tracing of results through the on-line system. Going forward the use of a stronger portfolio approach based on co-created, with the RMCs and linked to the Call to Action, Strategic Research questions would enable ICIMOD to lay out the institutional results framework (outputs, outcomes, and impacts) with SMART indicators (as in the current MEL guidelines) to which it would then be possible to formally identify where initiatives would contribute. Clearly for initiatives that will go beyond MTAPIV this may not be exact, but the process over time should enable ICIMOD to have a comprehensive way of tracking results, and, if new opportunities arise to assess their potential to contribute effectively to the

---

<sup>58</sup> Food Security and an IPCC process?

[https://www.nature.com/articles/d41586-021-01904-0?WT.ec\\_id=NATURE-20210715&utm\\_source=nature\\_etoc&utm\\_medium=email&utm\\_campaign=20210715&sap-outbound-id=39D20183918FB8CDB88B0BD295D20F5AD1EEB067](https://www.nature.com/articles/d41586-021-01904-0?WT.ec_id=NATURE-20210715&utm_source=nature_etoc&utm_medium=email&utm_campaign=20210715&sap-outbound-id=39D20183918FB8CDB88B0BD295D20F5AD1EEB067).

institutional results framework. As a matter of principle all indicators should be disaggregated by gender (note that the SRF does not do this when reporting in the Board report), and if Social Inclusion is to be more formally tracked then the mechanism for doing this will need to be established. It is also worth noting that the work of ICIMOD on GESI does not have a specific section on the website thus reducing the visibility of the work that is being undertaken. Building a community of practice with other organisations, including ICIMOD partners, working on GESI and say water issues has not yet taken place thus reducing the ability of ICIMOD to achieve its outcomes and impact.

## Efficiency (Matrix questions 2.2.4 / 2.3.6 / 2.3.7)

**Assess efficiency of ICIMOD's inputs / resources leading to targeted outputs and outcomes as compared to feasible alternatives in the context.**

Annex 1 in staff survey section highlights an important area when considering efficiency of use of resources. It indicates, from the staff survey that many staff identify as being management / administrative rather than technical which poses questions about the efficiency of management of the 6 RPs and their initiatives. There are 6 RPs which have between 2 – 5 active programmes in July 2021 (see Annex 4). As discussed in detail in Section 5 the Organisation Matrix is seen to be increasingly a burden in the way it is currently operated. This combined with the performance and incentives framework in ICIMOD (including individual performance, promotion and workplan requirements) has led to the operational matrix becoming unwieldy and a source of tension with many staff. Having a Gender Unit that is outside the main matrix (being seen as an institution unit) has led to some marginalisation of learning for ICIMOD around effective GESI analysis and scale-up of successful approaches. For the future perhaps the initiatives themselves need to take on a more regional character (working in a minimum of 2 countries not necessarily geographically linked e.g., Brick Kilns) or a transboundary (working in a minimum of 2 countries that are geographically linked e.g., KLCDI) thus preserving an important part of ICIMOD's fundamental DNA without the managerial layer of the RP itself. Task teams could be created for delivery with cross-learning facilitated by nominated Technical Thematic Leads to develop methodologies, bring together evidence and learning for use within ICIMOD and for sharing as part of ICIMOD's Regional Mountain Knowledge service role. This cross learning would include learning on GESI to ensure that mountain communities' complexity (and marginalisation) is understood, and key parameters are monitored transparently. Procedures and processes whilst sound probably need to be simplified and more use made of focused internet-based tools for use internally and with partners who are receiving funds.

## Impact (Matrix questions 2.2.2/2.2.4(1)/2.2.4 (2)/2.4.3/2.5.1)

**ICIMOD's ability to realize its strategic impact in terms of reducing poverty, increased resilience, and improved ecosystem services.**

ICIMOD has increasingly focused on measuring impacts of initiatives using scientific studies, regional studies and programmatic level impact studies – and all these should explicitly include a GESI analysis using relevant disaggregated data. This process is also using systematic approaches to the synthesis of evidence produced by ICIMOD, its partners and other stakeholders. However, the focus has often been on the programmatic initiatives including the preparation of 3 position papers covering Springsheds, Tourism and Entrepreneurship. ICIMOD is not an implementing agency for development and ecosystem services programmes and therefore is highly reliant on the 'take-up' by RMC agencies implementation mechanisms (policy making, development and environmental strategies and allocation of budgets for interventions). Its impact is also often mediated through the work of partners (civil society, academics, research agencies) and other stakeholders (IFIs, private sector and communities). Furthermore, the impacts can take significant time to take effect e.g., ICIMOD recommendations into Nepal National REDD+ Strategy is an important step, but the

subsequent process may require funding and implementation arrangements to be in place before significant impacts may be seen. ICIMOD's own staff see its work mainly in improved ecosystem services and yet also acknowledge that RMCs priority is reducing poverty. Understanding how the two (and increased resilience) are linked will be key to ensuring focused impact strategies that have long term sustainability (see below).

ICIMOD's institutional work on gender has seen considerable progress being made – 10 years is not a long time to make progress in this area. However, resourcing and accountability for GESI remains limited institutionally as the task is much bigger than the Gender Unit can achieve on its own. Also detail systematic analysis of the drivers of Sustainable Mountain Development, including GESI, remains limited – and yet this will be vital for the monitoring of change in short and the long term.

## Sustainability (Matrix questions 2.3.1 / 2.5.4/2.6.1/2.6.2/2.6.3/2.6.4/2.6.5)

### ***The Capacity of ICIMOD to secure the sustainability of its interventions<sup>59</sup> and funding base.***

ICIMOD has in many senses 'arrived' with the Ministerial Declaration on the HKH Call to Action. This is not to devalue previous work in any way, but the publication of the HKH Assessment and the subsequent regional and global engagement has significantly raised the profile of ICIMOD. This now poses an opportunity and a challenge to the organisation. For ICIMOD, as an Intergovernmental Organisation with 8 Regional Member Countries, the sustainability of its work and long-term funding will depend on the RMCs being increasingly 'pro-active'. Future sustainability will depend on ICIMOD being able to combine the delivery of evidence for policy and decision making that is focused on assisting RMCs to delivery on the SDGs by 2030 (including the Leave No-one Behind agenda) and being able to 'horizon scan' for new technologies / methodologies and innovations that can provide options for future monitoring and investment decision making under conditions of increased stress in ecosystems due to climate change and wider development pressures. The role of the ISG and their funding decisions will be important during the next Strategy / MTAP periods to support RMCs and ICIMOD develop systems and processes for increased use of evidence in decision making. The ISG, with the RMCs, can work to ensure that the CtA urgent actions, including those with a GESI focused are suitably resourced to enable mountain communities to achieve sustainable development. The focus for financial support could be on areas of important regional and global public goods across the HKH ecosystem including the management of biodiversity, cultural resources, and GESI responsive mountain community development.

---

<sup>59</sup> As in the ToRs.



## 9. Conclusion and Recommendations

**In this final section the IOD PARC QQR team provide two overarching assessments/ conclusions and the recommendations.** The first conclusion relates to the performance of MTAPIV to date and the second is to the future operating context and framing for the strategic direction of ICIMOD. These two conclusions help to set the scene for the recommendations.

### Assessment of the performance of MTAPIV to date

The MTAPIV period 2018 – 2022 has been one of significant challenge for ICIMOD. Not only has it seen the publication of the HKH-Assessment and the follow up process leading to the Ministerial Declaration it has also had to cope, since February 2020, with the Covid-19 Pandemic. Over this period the funding environment for ICIMOD has also become more turbulent. Despite this ICIMOD has been able to increase its core funding from RMCs and key members of the ISG. This has enabled ICIMOD to continue its work towards its Strategic Results Framework. ICIMOD has been involved in several regional and global processes during this time which have established the HKH as globally important areas for biodiversity, climate change and sustainable development of mountain communities.

During the implementation of the MTAPIV the organisation has maintained a steady course enabling it to address the challenges it has faced – including increases in regional tension. It has increased its regional footprint and its global profile – including its acceptance as the 7<sup>th</sup> Regional Implementing Agency under the Adaptation Fund (see Box 9.1). However, the time required for the management of these diverse and complex processes had, of necessity, reduced the ‘bandwidth’ available to address the QQR5 recommendations in any detail. The QQR6 team have reviewed these recommendations and notice that several pertinent recommendations remain to be fully implemented (see Annex 12 for further details). The recommendations below for the remaining time of MTAPIV and for MTAPV planning include areas of strategic importance that remain to be addressed. For instance, the relationship with the RMCs should be developed further and be seen as something qualitatively different from other important partnerships if ICIMOD is to fulfil its role as an intergovernmental organisation.

ICIMOD should review its internal management strategy, structure and systems in the period that sees the new Strategy and MTAPV designed. The key strategies for review are laid out in MTAPIV Recommendation 2 below. This would then enable:

- A focus on reducing bureaucracy and ensuring decision making is set at the correct level that will deliver efficiencies in operational management.
- All individuals (staff and partners) to understand their role in the delivery of the ICIMOD strategy and results framework.
- With a challenging financing situation increasing efficiency and effectiveness (value for money) will support ICIMOD to deliver on its role as the ‘Secretariat to the HKH

#### Box 9.1: Adaptation Fund

‘In making its recommendation to the Board for approval, the Fund’s independent Accreditation Panel determined that ICIMOD is a sound and strong fiduciary organization with a long-standing record of project implementation roles and a good track record of effective collaboration with a network of implementing and executing partners in the region, as well as with global strategic and research partners that it can draw upon.’

<https://www.adaptation-fund.org/nepal-based-center-becomes-7th-regional-implementing-entity-of-adaptation-fund/>

Ministerial Mountain Summit and the HKH Science-Policy Forum and the Task Force and [to] coordinate HKH-level monitoring and assessments on a regular basis.'

**In summary, the IOD PARC QQR team feels that the focus on the HKH-Assessment and Ministerial process has been, and will continue to be, a significant opportunity for ICIMOD and the RMCs. The on-going process will aid the RMCs in their stated objectives of meeting the SDGs and other international commitments through the application of evidence, produced and curated by ICIMOD as the regional intergovernmental body, to context specific Sustainable Mountain Development.**

**However: Whilst ICIMOD has now 'arrived' it now needs to change. Further modernisation and professionalisation will be required as ICIMOD matures. The operating context is likely to see a period of rapid change not least due to post Covid-19 recovery but also with respect to climate change, biodiversity and opportunities investment in livelihood development. The organisational response of ICIMOD to these changes are the subject of the recommendations outlined below**

## Framing the future

With a new strategy and MTAPV in the making, the pandemic straining regular operations, and the funding environment tightening there is a risk that ICIMOD's focus in the short-term could become overly inward-looking. In the wider region, the situation in Afghanistan and Myanmar is likely to restrict ICIMOD's operating space in those countries for at least a year or two, if not more. Looking at a longer time horizon, South Asian economies are expected to recover and grow and with growth total consumption, labour migration, industrial activity, emissions, and water demand are likely to intensify. In parallel, the effects of climate change and frequency of extreme events are likely to become more visible to the public generating a new political will on mitigation activities. The demand for knowledge, policy tools, and monitoring data required for adaptation as well is likely to grow in the RMCs. ICIMOD's long-term Strategy and MTAPV (as a step within this trajectory) should therefore both anticipate and embrace an enlarged demand on scientific and technical resources. It is also likely that climate-related allocations will increase globally as well as in the region.

In response to an increasing demand for ICIMOD's services and operation ICIMOD will need to carefully pace its continued growth as an organisation, make its internal decision-making processes nimble, and internalize adaptive management practices. Consideration of an enhanced country presence will be critical, especially if as expected regional Covid-19 travel restrictions continue for an extended period. Building institutional relationships, in addition to personal relationships and academic / scientific networks, will enhance the regional cooperation for the work of the Call to Action. An increased country presence will support the work of ICIMOD as the Secretariat to the HKH Ministerial Mountain Summit and related processes whilst building enhanced 'buy-in' for scaling of innovations and embedding of national and regional monitoring.

## Strategic Positioning of ICIMOD

The QQR has taken place at a time of global recognition that there is 10 years to make a real difference in terms of tackling climate change. The HKH Call to Action is a significant political commitment by the eight countries of the HKH to take urgent action on accelerating climate action alongside five other complementary and interdependent areas. This provides the context in which ICIMOD as a unique and mature inter-governmental organisation is now positioned ('centre-stage'). The recommendations (shared below) are aligned to the independent view of the QQR team that the CTA – and the immediate strategic choices

ICIMOD makes within this on where it can add most value as the knowledge centre of choice for organisations in the region / global organisations - is the future of ICIMOD. To be really effective in this space the QQR has identified a set of critical areas for ICIMOD to address organisationally.

## Recommendations for Strategy and MTAPV

<b>MTAPV: 1</b>	<b>Design an operating model and management structure for ICIMOD to deliver a 'Knowledge Service' (including the Ministerial Mountain Summit Secretariat) through a reframed portfolio of work.</b>
<b>To Whom Directed</b>	ICIMOD Management, BOG, ISG
<b>Recommendation</b>	That ICIMOD, with urgency, reviews its operating model and management structure to enable effective management of resources whilst delivering on a high-quality Knowledge Service for RMCs through a reframed portfolio of work.
<b>Why this Recommendation</b>	<p>ICIMOD SRF 2017 indicates that it is a regional knowledge hub. However the future (Strategy and MTAPV) will, with the current resourcing, require a different managerial configuration. This will need to examine the internal management challenge to ensure that ICIMOD operates effectively. At the same time regional (and global engagement) is likely to grow thus requiring increased senior management input into 'Call to Action' processes (RMC demands). Enabling routine operations, to support a reframed portfolio, will be critical for effective delivery, good staff / partner relationships and delivery of high quality (trusted) evidence for policy and implementation.</p> <p>The wide range of activities will be highly time intensive and will require careful resourcing. However, alongside the outward facing role ICIMOD, now a complex organisation, needs strong management of the Operational activities. An approach to delivering the management required is given in Annex 13 but this is only one way of addressing these complex issues.</p> <p>In step with this restructuring would be a reframing of the ICIMOD Portfolio of work focusing on 4 areas one of which will have a key role in the long-term monitoring of the HKH region and therefore contribution of evidence for the HKH Secretariat process (and global processes). Individual programmes would be regional or transboundary in nature and each initiatives staffing designed to suit with a combination of technical, managerial and administrative to suit the size and scope of the work.</p> <p>The operating model design would also review the number, location and skill sets required to deliver the new Strategy and MTAPV. This would then enable the effective resourcing of new work-streams, including the Call to Action Secretariat and development of multi-disciplinary teams for evidence generation, synthesis, policy influence and technical support / capacity enhancement and joint learning.</p>
<b>Risk if not addressed</b>	That ICIMOD's will not be able to build on its current strengths and adapt to the new opportunities within the region. Working with the

	RMCs on the CtA will require a highly skilled facilitated process using sound evidence and soft political skills across a wide range of domains.
--	--

<b>MTAPV: 2</b>	<b>Creating a dedicated business development unit</b>
<b>To Whom Directed</b>	ICIMOD Management Team
<b>Recommendation</b>	Create a 2-3 member business development unit (fully focused on fund raising from multiple sources) headed by a business development professional who has experience in both public and private sector fund-raising and is supervised directly by the DDG.
<b>Why this Recommendation</b>	An organization that is operating at \$ 20-25 million a year with staff size of 200 and expecting to grow further in the next 5 years requires significant funding environment intelligence on a rolling basis. Anticipation of funding gaps and timely (pro-active) exploration of alternative funding sources will also become crucial to sustained operations in future. ICIMOD's fund-raising pitch requires customization if it is to explore funds from private philanthropic foundations. Additionally, the business development function requires a deep integration with ICIMOD's communication strategy, relationship with the ISG, and private sector engagement strategy and these functions cannot be effectively driven without a dedicated unit. The integration of new forms of funding could also be linked to periodic recalibration of RMC funding levels (in cash and in-kind e.g. staff secondment) and balancing core/programme/project finance from ISG and other funding sources.
<b>Risk if not addressed</b>	ICIMOD's ability to correctly predict/anticipate funding gaps, its ability to explore new funding sources beyond RMC contributions and ISG support, and its ability to correctly calibrate its growth strategy will not qualitatively improve without creating a dedicated business development unit.

<b>MTAPV: 3</b>	<b>Strengthening country presence in RMCs</b>
<b>To Whom Directed</b>	ICIMOD Management Team and BOG
<b>Recommendation</b>	The new Strategy and MTAPV should plan to gradually strengthen country presence in all RMCs in the next 3-5 years through RMC hosted offices, secondments, or other means.
<b>Why this Recommendation</b>	The ICIMOD headquarters in Kathmandu cannot continue to grow with growth in operations. A decentralization plan must be thought through, particularly, if the annual budget begins to hover above \$ 30 million mark. During design of the new strategy and MTAPV it will be important and urgent to consider, the need to strengthen country presence to: <ul style="list-style-type: none"> <li>a) mobilize support to RMCs more promptly when needed</li> <li>b) cultivate wider local relationships with RMC agencies, partners, and donors</li> </ul>

	<p>c) support CtA activities in all RMCs on an equal footing</p> <p>d) increase ICIMOD's visibility and RMC ownership in each country and</p> <p>e) embed ICIMOD more firmly in RMC policy processes.</p> <p>Beyond these functional gains, ICIMOD may be able to reduce its staff costs by locating some of the senior staff and expert positions in their home countries.</p>
<b>Risk if not addressed</b>	ICIMOD may hit a growth limit without a decentralization plan and not be able to enhance effectiveness in the five areas identified (a) to (e) above.

<b>MTAPV: 4</b>	<b>Strategic Results Framework Revised Design for MTAPV</b>
<b>To Whom Directed</b>	ICIMOD Management
<b>Recommendation</b>	That the Strategic Results Framework is crafted to provide a coherent portfolio of work that is based on agreed Strategic Research Question co-designed with the RMCs, (i.e. increasingly demand-led) linked, for MTAPV, to the HKH Call to Action priorities and the objective of ICIMOD as a Regional Mountain Knowledge Service. Linking the future monitoring to shared learning through the Science: Policy Forum could provide regular 'sense-checking' (with a diverse group of scientists/ social / economic / governance experts, policy/decision makers and mountain community stakeholders) that the Strategic Research Questions remain relevant, are progressing and are providing early evidence for learning (usable for scaling, for institutionalisation and for sustainability of work).
<b>Why this Recommendation</b>	ICIMOD needs to consider its institutional impact and how, by having a clear portfolio of work linked to a set of agreed Strategic Research Questions (rather than just RP / Initiative outputs and outcomes as now). A focused SRF that builds further on transparency of reporting but also addresses the quality of deliverables across the complex results chain (and over time) is critical. The process would then enable a stronger focus on setting baselines (context focused and initiative specific) and use of appropriate methodologies for proof of concept (innovation), scale-up approaches and wider influencing work. Enabling greater attribution and contribution analysis from ICIMOD's work with RMCs, including with and through partners will be important in maintaining trust in the organisation and the evidence that it produces.
<b>Risk if not addressed</b>	That the SRF remains dominated by the focus on the outputs from initiatives rather than how these are contributing to the institutional outcomes / impacts. This focus could aid decision making on funding as it could help to ensure that opportunities are positively aligned with the ICIMOD outcomes / impacts. A focus on 'what can be counted' does not enable a full picture of ICIMOD to be presented.

<b>MTAPV: 5</b>	<b>Integrate gender and social Inclusion (GESI) as a core operating principle for ICIMOD</b>
<b>To Whom Directed</b>	ICIMOD Management
<b>Recommendation</b>	That ICIMOD seek BOG agreement and approval to integrate gender and social inclusion as a core operating principle for the institution.
<b>Why this Recommendation</b>	<p>With a vision and mission on “sustainable and resilient mountain development for improved and equitable livelihoods...”, ICIMOD’s research and work on social inclusion in the HKH region to date has been limited. Institutionally and programmatically there has been sustained efforts at integrating gender at operational and programmatic level – however social inclusion aspects in terms of staff capacity, tools and guidance, as well as integration at regional program, theme and initiative level remain thin. The lack of dedicated resourcing for GESI has been a key constraint. Board agreement on GESI as an operating principle, would ensure that there is not only strategic attention to and commitment to the issue but also to ensure that necessary resources (beyond capacity building) can be allocated and made available and that there is an increased focus on research and evidence development with respect to GESI.</p> <p>The paucity of disaggregated data on GESI is a key gap identified by ICIMOD in the HKH region – data that could be critical in helping governments design more effective interventions in the mountain regions. As a starting point, ICIMOD could work with national agencies in the RMCs to collate <i>existing</i> data and evidence on social inclusion issues that are affecting/impacting mountain communities. This relationship could be two ways with agencies providing information to ICIMOD and ICIMOD in turn feeding data and evidence from its own regional and thematic areas of work to national agencies. Through this, ICIMOD would be able to contribute to the data gaps that exist, articulate views on the kinds of issues, challenges and impacts being experienced by mountain communities and provide the evidence base to inform its own programming as well to feed into relevant policy and implementation processes within the RMCs.</p>
<b>Risk if not addressed</b>	Covid-19 has magnified issues related to gender, social inclusion and livelihoods and highlighted the need for greater focus on these issues in planning pandemic/post-pandemic responses. As an inter-governmental organisation that works on sustainable mountain development issues, ICIMOD is uniquely positioned to bring attention to the normative and structural factors that foster gender inequality and social exclusion in the region and support and provide policy advice and guidance to RMC governments and partners on the kinds of policy interventions or programs that could be implemented to address deepening exclusions/inequalities. With the HKH Assessment and Call to Action, explicitly considering issues of gender and exclusion and given the current challenges being faced by countries in the region, ICIMOD stands to lose some of its credibility and legitimacy particularly with mountain communities should it not look to engaging on issues particularly around social inclusion in the region.

<b>MTAPV: 6</b>	<b>Develop a Centre of Excellence on Systematic Review (of all forms) for issues affecting the HKH</b>
<b>To Whom Directed</b>	ICIMOD Management
<b>Recommendation</b>	As a Regional Mountain Knowledge Service ICIMOD is in a position not only to produce new knowledge but to synthesise quality evidence from a wide range of sources. This can be to answer specific questions, to document current state of evidence, to enable trends / monitoring to be documented etc. The ability to undertake systematic reviews is a real skill and this could be one that ICIMOD, institutionally, builds a capacity and competency in. Systematic reviews would, where appropriate, then be linked to the production of the necessary policy / decision maker briefs or documentation for wider stakeholders as part of the dissemination process.
<b>Why this Recommendation</b>	<p>Himal.doc highlights the extent of material that is published (formal academic as well as 'grey' literature) that covers many issues of direct relevance to the HKH and mountain communities. Providing a high-quality systematic review service to aid reflective learning on what evidence is current available and its quality would be a major asset for ICIMOD. Work is already taking place on this within the organisation and formalising the approach (sources, quality assessment etc) would then be helpful.</p> <p>Furthermore the networks of SANDEE and the HUC provide access to high calibre academic experts who, in some cases, already have expertise in the undertaking and use of Systematic Reviews (of all forms).</p> <p>An example of an important area that would link ICIMOD's work on ecosystems / resilience to RMC poverty reduction priorities could be Food Security (see Annex 16 Case 1). This would build on HKH-A Chapter 9 and on the recently launched<sup>60</sup> work on Poverty in the Hindu Kush Himalayan region. Additionally historical analysis of interventions such as from SERVIR<sup>61</sup> also helps to build a stronger knowledge base and understanding of work in the HKH.</p>
<b>Risk if not addressed</b>	ICIMOD may 'hold' papers etc. but this does not in itself create knowledge or increase the utility of the documentation. The point of knowledge cannot be just to store it – it is about creating understanding. <sup>62</sup> In a time of rapidly increasing publication (academic and reports) policy / decision makers are swamped by competing demands and, unless highly data literate, may not be able to differentiate between different forms of evidence which can lead to poor policies and decisions.

<sup>60</sup> Rasul, Golam, Karki Nepal A. 2021. Poverty in the Hindu Kush Himalayan Region: Assessment of Status, Drivers, Policies and Responses, International Centre for Integrated Mountain Development, Kathmandu, Nepal

<sup>61</sup> Bairacharya, B., Thapa, R.B. & M.A Martin (2021) Earth observation science and applications for risk reduction and enhanced resilience in Hindu Kush Himalaya region: A decade of experience from SERVIR Springer (Open Access <https://lib.icimod.org/record/35312>)

<sup>62</sup> See the discussion in Mary Midgley (1989) *Wisdom, Information & Wonder. What is Knowledge For?* Routledge.

## Recommendations for MTAPIV Implementation to 2022

The recommendations outlined in this section are those that are of immediate importance to enable effective support to the development of the ICIMOD Strategy to 2030 and the development of MTAPV.

<b>MTAPIV: 1</b>	<b>Tightening up of publication processes including dates, languages, glossaries and web-management.</b>
<b>To Whom Directed</b>	ICIMOD Management Team / KMC / All staff who publish material of any type and in any language.
<b>Recommendation</b>	<p>That the following in put in place:</p> <ol style="list-style-type: none"> <li>1. All publications are dated with both date of publication, and if relevant, date of collection of data for baselines, studies etc (can be a lag between collection and publication);</li> <li>2. That all web-site linkages are well maintained</li> <li>3. That Himal.doc has an improved search function that gives the option to only include those available for download i.e., not behind a 'pay-wall'.</li> <li>4. Consider publication in national languages<sup>63</sup> where appropriate;</li> <li>5. Prepare national language glossaries for use within RMCs by academic / research institutions, mountain communities and decision makers covering climate change, biodiversity, water management etc.</li> <li>6. Clear articulation of inclusion of partners and their staff in any publications and wider recognition of partner contribution.</li> <li>7. Update the Regional Programme / Initiative Summary sheet (see Annex 4 for a suggestion) to give more detailed, but focused information to the reader.</li> </ol>
<b>Why this Recommendation</b>	<p>ICIMOD is a Regional Mountain Knowledge Hub (Service) and should perform to the highest standards. Whilst English remains the language of communication of ICIMOD it should not be assumed that decision makers and researchers, even if they speak English, have a strong knowledge of technical terminology. Whilst some glossaries are available in the languages of the UN e.g., IPCC, wider dissemination would be helpful (even if only links to these in the first instance).</p> <p>A failure to date documents and state clearly when data was collected (not buried in text) can restrict the utility of the material painstakingly collected from local people and is not efficient.</p>

<sup>63</sup> Tatsuya Amano *et al* (2021) Team tips for overcoming language barriers in science. *Nature Human Behaviour*. [https://www.nature.com/articles/s41562-021-01137-1.epdf?sharing\\_token=fuy1T7gZ4MeUc2lOExaKwdRgN0jAjWel9jnR3ZoTv0OR4J0u4q6gAmV\\_weMB193cRe1O6ML7bACNd5R0YOUtq-TtzirVL6bs8WiUeS13AY\\_6iXhMfOJUjM\\_x5ejoRiPeFI\\_gnUkW5b3xee9erqXYR-KbOGKWN-6rcGo7NS3jVAE%3D](https://www.nature.com/articles/s41562-021-01137-1.epdf?sharing_token=fuy1T7gZ4MeUc2lOExaKwdRgN0jAjWel9jnR3ZoTv0OR4J0u4q6gAmV_weMB193cRe1O6ML7bACNd5R0YOUtq-TtzirVL6bs8WiUeS13AY_6iXhMfOJUjM_x5ejoRiPeFI_gnUkW5b3xee9erqXYR-KbOGKWN-6rcGo7NS3jVAE%3D)



<b>Risk if not addressed</b>	That the quality of ICIMOD's performance as a Knowledge Service is jeopardized due to small, but cumulatively, critical shortfalls from the highest standards.
------------------------------	--

<b>MTAPIV: 2</b>	<b>Updating key strategies for use in MTAPV design and operationalisation</b>
<b>To Whom Directed</b>	ICIMOD Management Team
<b>Recommendation</b>	<p>The QQR process findings indicate that there is an immediate need to review / develop appropriate strategies for:</p> <ol style="list-style-type: none"> <li>1. Social Inclusion</li> <li>2. Partners and Partnership engagement audit (pre-planning for strategy for MTAPV)</li> <li>3. Knowledge Management for ICIMOD, internally and externally as a 'Regional Mountain Knowledge Service'</li> <li>4. Media / Publications policy including social media</li> <li>5. Data Policy to enable increased sharing of regional monitoring data</li> <li>6. Funding strategy preparation including 'types of money' and clear Principles of Engagement.</li> <li>7. Training, capacity, joint learning (RMCs and Partners) strategy: Analysis of opportunities</li> <li>8. Formalising a 'Disaster Response Strategy' with creation of a 'draw-down fund' with ISG for rapid response which covers key costs.</li> </ol>
<b>Why this Recommendation</b>	As the work on the Strategy and MTAPV moves forward the time can be used to review / update / develop appropriate strategies. These may help to inform the way that the institutional strategy and MTAPV take shape and resources are allocated.
<b>Risk if not addressed</b>	Outdated policies may not represent the most effective thinking based on learning from ICIMOD (and partners). Using the time over the next few months to review and update policies can then be positive. In the case of social inclusion this critical topic is missing at present and yet poses several challenges for ICIMOD to deliver on within the context of 8 RMCs in the HKH.

<b>MTAPIV: 3</b>	<b>Policy / Decision making ecosystem in the 8 RMCs</b>
<b>To Whom Directed</b>	ICIMOD Management Team
<b>Recommendation</b>	That ICIMOD undertakes, for internal use only, studies for each RMC on policy / decision making processes at national and sub-national level (where appropriate). The studies should include issues of implementation and monitoring requirements of new policies – including those from national and sub-national levels. ICIMODs comparative advantage in these processes to also be identified.
<b>Why this Recommendation</b>	Within ICIMOD there is much talk about policy making, but rarely does the fact that within the 8 regional member countries and their sub-national levels have a rich diversity have much visibility. It is vital that ICIMOD explicitly (for internal purposes) documents the

	critical policy / decision making processes in each RMC so that it has a greater understanding of the ecosystem and how to pursue influence within this it from an institutional, partner and personal level.
<b>Risk if not addressed</b>	That ICIMOD will not have a clear understanding of the range of policy making processes that it must work with leading to a loss of efficiency, effectiveness and missed opportunities.

ENVIRONMENTAL

# Annex 1: Support material for QQR Methodology

## Survey questionnaires

### Partner Survey

Click to open



ICIMOD QQR  
Partnership Survey C

Note that the survey was completed by 52 partners out of the 103 requests sent out. A response rate of 50.5%.

### Staff Survey

For the staff survey the IOD PARC QQR team asked different questions to the technical (regional programme and thematic staff) from the institutional management staff (all other departments from the ICIMOD staff list provided to the IOD PARC QQR team).

So, when reading the pdf file below please be advised that Question 1 required respondents to consent to an agreed set of terms laid out in the privacy disclaimer. Thereafter they responded to some general questions around their role and demographic profile. The survey then branched after question 9 depending on which department the respondent worked in, with technical staff answering one set of questions (10-25,34-72) and institutional management staff answering another set of questions (26-33). All staff then answered the remaining questions (72 to 85).

Click to open:



QQR Staff Survey

**Table A1.1 Summary of Number of Staff Responses to QQR Survey**

RP / Theme / Service / County Office	Number of Responses	Number from Staff list (May 14, 2021)	% response
Adapt-Res-Build	4	7	57
Transboundary Landscapes	9	10	90
River-Basin-Cryo	10	9	111
Atmosphere	2	5	40
Menris	7	6	117
Mkan	5	7	71
<b>Regional Programme Staff</b>	<b>37</b>	<b>44</b>	<b>84%</b>

RP / Theme / Service / County Office	Number of Responses	Number from Staff list (May 14, 2021)	% response
Ecosystem Services	10	11	91
Water-N-Air	13	20	65
Geospatial Solutions	15	26	58
Livelihoods	11	22	50
<b>Themes</b>	<b>49</b>	<b>79</b>	<b>62%</b>
SPM&E	6	6	100
Strategic Cooperation	4	4	100
KMC	22	28	79
Directorate	3	5	60
Chief	2	3	67
Admin-N-Finance	21	30	70
<b>Service Departments</b>	<b>58</b>	<b>76</b>	<b>76%</b>
County Offices	1	3	33%
<b>Answered</b>	<b>145</b>	<b>202</b>	<b>72%</b>
<b>Skipped</b>	<b>14</b>		

## Organisational Effectiveness Guide



Detailed lines of inquiry for Organisational Effectiveness inquiry -



Organisational Effectiveness inquiry -

## People interviewed during Inquiry Phase

Please note that this list is not complete as there are some interviews to be carried out in the next 2 weeks due to the availability of key people.

Table A1.2: List of people interviewed (KII / FGD)

Organisation	Date	Department	Personnel	QQR Team Members	Focus
<b>ICIMOD Staff</b>					
ICIMOD	06/04 /2021	Strategic Cooperation Unit	Basanta Shrestha Santosh Pathak Naina Shakya	Sagar Prasai Mandakini Surie Diksha Mahara	Partnerships
ICIMOD	16-Jun	MKAN - HKH-A	Philip Wester Brij Rathore Arabinda Mishra	Sagar Prasai	HKH-A process and post publication work

Organisation	Date	Department	Personnel	QQR Team Members	Focus
				Sheelagh O'Reilly	i.e. evidence to impact
ICIMOD	18/06/2021		Dhrupad Choudhry / Farid Ahmad	Sheelagh O'Reilly	Institutional evidence to policy
ICIMOD	22/06/2021	Ecosystem Services Coordinator	Purnamita Dasgupta	Sheelagh O'Reilly	Themes / results / policy making
ICIMOD	22/06/2021	Deputy DG	Izabella Koziell	Mandakini Surie Sheelagh O'Reilly	Thinking about the future of ICIMOD
ICIMOD	22/06/2021	ERP Coordinator	Rahul Dabbas	Julian/Mandakini	ERP systems, org effectiveness
ICIMOD	23/06/2021	Chief Economist	Golam Rasul	Sheelagh O'Reilly	Institutional evidence to policy
ICIMOD	23/06/2021	REEECH / RP1	Mewang Gyeltshen (REEECH Coordinator) Nanki Kaur (RP1 manager)	Sheelagh O'Reilly	Work of REEECH
ICIMOD	24/06/2021	RP3: River Basin & Cryosphere	Arun Shrestha Miriam Jackson Ajax Ali Neera Pradhan	Sheelagh O'Reilly	RB&C results / impact management
ICIMOD	24/06/2021	Strategic Cooperation Unit	Naina Shakya and Santosh Pathak	Mandakini and Julian	partnerships and org effectiveness
ICIMOD	25/06/2021	Gender	Chanda Goodrich Gurung	Mandakini and Julian	GESI and org effectiveness
ICIMOD	25/06/2021	KMC	Laurie Vasily	Mandakini and Julian	Knowledge management, GESI and org effectiveness
ICIMOD	25/06/2021	HR	Lisbeth Saager	Mandakini and Julian	Human Resources and org effectiveness
ICIMOD	25/06/2021	Theme Manager Geospatial	Mir Matin	Sheelagh O'Reilly	Themes / results / policy making
ICIMOD	25/06/2021	Livelihoods Theme Manager	Arabinda Mishra	Sheelagh O'Reilly	Themes / results / policy making
ICIMOD	25/06/2021	RP2 Transboundary	Nakul Chettri	Sheelagh O'Reilly	RP / Themes and results delivery
ICIMOD	01/07/2021	KMC	Laurie Vasily	Sheelagh O'Reilly	KMC, results and impact
ICIMOD	01/07/2021	WNA Theme	Randall Ritzema	Sheelagh O'Reilly	Themes / results /

Organisation	Date	Department	Personnel	QQR Team Members	Focus
ICIMOD	29/06/2021	MENRIS	Ghulam Rasul Birendra Bajracharys Madira Shrestha Sudip Pradhan	Sheelagh O'Reilly	results to impact
ICIMOD	30/06/2021	Transboundary	Nakul Chattri Janita Gurung Tashi Dorji Yi Shaoliang Ghulam Ali Bhaskar Karky	Sheelagh O'Reilly	results to impact
ICIMOD	28/06/2021	SPU	Basanta Shrestha	Julian/Mandakini	Org effectiveness
ICIMOD	28/06/2021	Finance/Admin	Shekhar Ghimre	Julian/Mandakini	Org effectiveness
ICIMOD	28/06/2021	SPME	Farid Ahmad	Julian/Mandakini	Org effectiveness
ICIMOD	29/06/2021	Finance/Admin	Bijay Shrestha	Julian/Mandakini	Org effectiveness
ICIMOD	29/06/2021	RP Leader - Riverbasins and Cryosphere	Arun Shrestha	Julian/Mandakini	Org effectiveness
ICIMOD	29/06/2021	Livelihoods Theme Manager	Arabinda Mishra	Julian/Mandakini	GESI/org effectiveness
ICIMOD	30/06/2021	Cryosphere Program Coordinator	Miriam Jackson	Julian/Mandakini	Org effectiveness
	01/07/2021	Pakistan Country Office	Muhammad Ismail	Mandakini, Julian, Sagar	Context/org effectiveness
ICIMOD	01/07/2021	SPU	Naina Shakya	Mandakini	Partnerships/GESI
ICIMOD	02/07/2021	Admin - EA	Sami Joshi	Julian/Mandakini	Org effectiveness
ICIMOD	02/07/2021	Afghanistan country office	Jawid Ahmad and Waheedullah	Mandakini, Julian, Sagar	Org effectiveness
ICIMOD	02/07/2021	SPME	Ghulam Muhammad Shah Farid Ahmad	Sheelagh O'Reilly	Measuring impact of innovation
ICIMOD	06/07/2021	SPME	Farid Ahmad	Sheelagh O'Reilly	Role of SMPE now and future
ICIMOD	06/07/2021	D-DG	Izabella Koziell	Mandakini Surie Sheelagh O'Reilly	Strategic Planning / key issues
ICIMOD	06/07/2021	Livelihoods	Min Bahadur Gurung	Mandakini Surie	GESI/org effectiveness

Organisation	Date	Department	Personnel	QQR Team Members	Focus
ICIMOD	06/07/2021	RP4 Atmosphere	Iqbal Mead, RP Manager Bidya Banmali Pradhan (APS)	Sheelagh O'Reilly	Impacts private Sector relation with themes
ICIMOD	07/07/2021	MKAN - HKH-A	Flip Wester	Sheelagh O'Reilly	Follow up on HKH-A process
ICIMOD	07/07/2021	Water-Air	Randall Ritzema and Vijay Shrestha	Mandakini Surie/Sagar Prasai	Org effectiveness
ICIMOD	08/07/2021	Livelihoods	Sugat Bhajracharya, Livelihoods	Mandakini Surie	Org effectiveness
ICIMOD	09/07/2021	Ecosystem Services	Purnamita Dasgupta	Sagar Prasai	Scaling and regional relations
ICIMOD	09/07/2021	Livelihoods	Anu Joshi Shrestha, Livelihoods and Rural Value Chains	Mandakini Surie	Org effectiveness
<b>BOG (RMC and independent)</b>					
Independent BOG	29/06/21	Independent BOG	Professor Dr Hans Hurni (Switzerland)	Sheelagh O'Reilly	Impacts
Independent BOG	30/06/2021	Independent BOG	Teresa Foelgelberg	Julian/Mandakini	Context/Funding /Impact/Results
Independent BOG	05/07/2021	Independent BOG	Camilla Toulmin	Sheelagh O'Reilly	Strengths & challenges
Independent BOG	06/07/2021	Independent BOG	Dr. Juergen P Kropp	Julian/Mandakini	Context/Funding /Impact/Results
Independent BOG	07/07/2021	Independent BOG	Lyonpo Kinzang Dorji	Sheelagh O'Reilly	RMCs / future strategy etc
Independent BOG	07/07/2021	Independent BOG	Renate Christ	Sheelagh O'Reilly	New board member
RMC Board	26/07/2021	RMC BOG	Rinzin Dorji	Sheelagh O'Reilly	RMCs
RMC Board	04/08/2021	RMC BOG (Depute China)	Professor Yang Yongping		
RMC Board	24/08/2021	<b>RMC BOG (Bangladesh)</b>	Ms. Mosammat Hamida Begum, <u>Secretary of Ministry of Chittagong Hill Tracts Affairs,</u>	Julian /Mandakini	RMCs
<b>ISG &amp; Funding Agencies</b>					
ADA	25/06/2021	HQ	Sandra Wibner Cornelia Schenk	Sheelagh O'Reilly	REEECH
UNIDO	28/06/2021	GN-SEC	Shen Weijun (Zoe) Gentjan Sema	Sheelagh O'Reilly	REEECH

Organisation	Date	Department	Personnel	QQR Team Members	Focus
ADA Bhutan	01/07/2021	Bhutan Country Office	Adam Gerhard Chhetri Tek Bahadur	Sheelagh O'Reilly	REEECH
Sida	02/07/2021	Regional Cooperation Bangkok	Asa Heijne	Sheelagh O'Reilly	Key focal issues for QQR
DFAT	02/07/2021	DFAT	John Dore	Sagar and Mandakini	Key issues for QQR - context, org effect
Norway	02/07/2021	Norwegian Embassy, Nepal	Jan Erik Studsrod	Sheelagh O'Reilly	Norway strategic engagement
Switzerland	05/07/2021	SDC	Manfred Kaufman	Julian Gayfer	organizational effectiveness, context and results
UK-FCDO	08/07/2021	Delhi Office	Shan Mitra	Sagar Prasai Sheelagh O'Reilly	Regional / funding
UNIDO	14/07/2021	GN-SEC	Shen Weijun (Zoe) Gentjan Sema	Sheelagh O'Reilly	REEECH
US Department of State and USAID	07/01/1900	US Embassy	Laura Djuragic, Jaypal Shrestha, Kalpana Aryal	Sagar Prasai	Funding environment, Partnership, Context
<b>Partners</b>					
Chinese Academy of Science	07/07/2021	China - ICIMOD committee	Wu Ning Lu Xuyang Long Ruijun Gan Lu	Sheelagh O'Reilly	Relationship CAS Science to Policy Chinese staff in ICIMOD
Nanharh University	07/07/2021	Afghanistan	Mr. Asghar Ghaforzai	Mandakini Surie	Partnership and relationship management
Krishi Gobeshona Foundation	07/07/2021	Bangladesh	Mr. Shahabuddin Ahmad	Mandakini Surie	Partnership and relationship management
G.B Pant	07/07/2021	India	Mr. Kirit Kumar	Mandakini Surie	Partnership and relationship management
ACAWA DAM	08/08/2021	India	Dr. Himanshu Kulkarni	Mandakini Surie	Partnership and relationship management
IWFM Buet	12/08/2021	Bangladesh	Dr. Sara Nowreen	Mandakini Surie	Partnership and relationship management



Organisation	Date	Department	Personnel	QQR Team Members	Focus
Kathmandu University	15/07/2021	Nepal	Dr. Nani Raut	Sagar Prasai	Research and impact
WWF Pakistan	01/07/2021	Pakistan Country Office	Haider Raza	Sagar Prasai	Context, partnership dynamics, impact
Community Development and Advocacy Forum	14/07/2021	Nepal	Nagdev Yadav	Sagar Prasai	Context, impact
<b>Other Experts</b>					
REST	13/06/2021	REST (ex RP2 Manager)	Rajan Kotru	Sheelagh O'Reilly	Transboundary evidence to impact
UCL	23/06/2021	UCL / Chair IPCC WGIII	Jim Skea	Sheelagh O'Reilly	Science evidence to influence - lessons from IPCC
UHI University of Highlands and Islands, Scotland	30/06/2021	UHI founding director of Centre for Mountain Studies	Marin Price	Sheelagh O'Reilly	ICIMOD, Sustainable Mountain Development and HKH-A use
EFI Think Forest Seminar on Science / Policy	20/04/2021	European Forest Institute	<a href="https://efi.int/policysupport/thinkforest/role_of_science">https://efi.int/policysupport/thinkforest/role_of_science</a>	Sheelagh O'Reilly	
EU Science Hub / Commission JRC	23/07/2021	EC JRC	Kristian Krieger	Sheelagh O'Reilly	Processes associated with JRC / EU including planning / finance / selection of topics....

## Presentations made during QQR

QQR Introduction Power Point for ICIMOD PMC

**Click to open**



QQR team to PMC  
17 May 2021 - FINAL

Initial Findings to ISG 230821

**Click to open**



ISG230721 -  
FINAL.pptx

First Draft Report to PMC 090821

**Click to open**



Initial findings  
presentation to PMC

Presentation for ISG/ PAC / Board of Governors on 6<sup>th</sup> September

**Click to open**



ISG, PAC, BOG 6th  
September

## List of QQR Management meetings

Name	Dates	Purpose
ISG QQR Team	28/4; 5/5; 12/5, 19/5, 26/5 & 2/6, 21/7, 28/7, 4/8, 11/8	Weekly briefing on progress and discussion of technical issues.
ICIMOD PMC	17/5	Introduction to QQR by IOD PARC Team and discussion. See below for PowerPoint
Farid Ahmad / Sheelagh O'Reilly	Following QQR meetings on 12/5 and 19/5	General discussion on results / impacts and QQR.
ISG	23 July 2021	Presentation by IOD PARC QQR team of the initial findings.
ICIMOD PMC	9/8	Presentation of first draft report.
ISG , PAC & Board of Governors	6, 7, 8 & 9 September	Presentation (6 <sup>th</sup> ) and discussion (8 <sup>th</sup> & 9 <sup>th</sup> )

## Annex 2: Criteria for confidence determination and use in decision making.

Evidence Confidence assessment scale and utility for decision making			
Rating	Criteria	Utility for Decision making	Code
<b>High Confidence</b>	The finding is supported by multiple data points, including written documents, key informant interviews from different types of stakeholders, and has been validated during further consultations; overall there is consistent and coherent evidence to support the finding	Strong utility for decision making	
<b>Medium Confidence</b>	The finding is supported by more than one data point (documents, interviews, etc.) but there is not yet definitive evidence to support it and/or there is some degree of ambiguity/limited contradictions in the evidence base	Good utility for decision making but limitations should be clear.	
<b>Low Confidence</b>	The finding is tentative, either because it is based on limited data (for example a single document, a single informant, etc.) or because there are major gaps/contradictions in the evidence base (for example differing experiences across countries or providers) or due to a high level of disagreement between various sources as to the validity of the finding.	It should be noted that low confidence-level findings are still presented as findings of the report and that they may be entirely valid, however due to the limitations in the evidence base their interpretation should be taken with caution.	
<b>No evidence</b>	This will be used if there is no evidence to make any determination of finding.	Not applicable as no evidence available.	

## Annex 3: Review Matrix Summary

The summary of the review matrix is presented below and can be opened in this file:

**Click to open**



QQR Review Matrix  
Summary

**The summary is presented in the following three pages.**

FINAL

OECD-DAC Criteria and ICIMOD definition from ToRs	QQR ? # (from)	#	Question (Any additional questions to be flagged and also then included in narrative and why)	Organisation Effectiveness	Summary of Finding from all data sources (see separate tab for details) - to be completed during the 'analysis week' as will form basis for reporting to ISG etc.	Data Quality Assessment	GESI Summary
<b>Relevance</b>							
The relevance of ICIMOD's interventions in relation to the declared aspirations of the regional stakeholders stated in the SRF.	2.2.3	R-1	Has ICIMOD addressed appropriately the key priority actions and strategies for the region as outlined in the SRF 2017?	Performance	Yes, ICIMOD has largely covered the ground in terms of key priority actions/strategies under SRF 2017 but overall a mixed picture on addressing appropriately	High	Mixed - lack of disaggregated especially at the 7 Strategic Results. Good that a SR focuses on GESI is positive but actioning some of the intent is more mixed.
	2.2.5	R-2	Has the quality of ICIMODs scientific work (science and social / economic) and its visibility been improved over the years?	Performance	Yes, the quality of scientific work especially the hard science has improved significantly. However, on the socio-economic and GESI side there is scope for improvement	Medium	Marginal on Gender and much less on SI. ICIMOD is not the 'go to' organisation for GESI in the region. Limited drawing from wider practice in the region. In ICIMODs area would be IWMI.
	2.2.6	R-3	To what extent has ICIMOD been able to implement the recommendations made by the 5th QQR in 2016?	Performance	This is a mixed bag - GESI area of weakness as is the relationship with RMCs	Medium	GESI remains a weakness.
	2.3.8	R-4	What evidence is there that ICIMOD has promoted gender and inclusion as an organisation and in its programmes?	Operational	Yes - to a limited degree - scope for significant improvement	High	Limited promotion. Some areas seen as important but papers etc are low on issues related to GESI. Focus often on gender rather than the broader GESI. Limited resourcing. Limited tools for SI in ICIMOD itself and for analysis of issues e.g. site selection and agreement with RMCs. Need to undertake analysis within an understanding of Sustainable Mountain Development.
<b>Coherence</b>							
The extent to which ICIMOD has been able to bring both <b>internal and external coherence</b> to its programme delivery in the region including <b>internal coherence</b> related to synergic efforts of intra and inter regional programmes and initiatives, <b>external coherence</b> related to synergetic and coordinated work with programmes, initiatives and policies in the RMCs and global efforts which are of complementary nature and have significant value for sustainable mountain development.	2.2.7	C-1	How has ICIMOD been able to tackle the COVID-19 situation and how should it adapt to the post COVID-19 situation both strategically and programmatically and other external factors.	Operational	ICIMOD has responded well - duty of care done well - actual impact on pace of programs/relationships not adequately addressed. Longevity of covid in the region requires strategic/nimble thinking	High	Response institutional was seen as being appropriate. Covid19 in HKH also addressed the issues.
	2.4.1	C-2	What are the complementarities and synergies with respect to different donor funded programmes currently implemented by ICIMOD as part of the Strategy and Results Framework?	Strategic	Mostly still there - fading in some places - under pressure in some areas (i.e. transboundary work funded through core). Donors have changed funding priorities (pre and post Covid)	Medium	GESI has been a key component of a number of ISG programmatic and Core financing engagements.
	2.4.2	C-3	What is ICIMODs advantage compared to other organizations working in the HKH region? Present comparative analysis of similar entities which are intergovernmental regional knowledge centres both in the region and globally.	Strategic	ICIMOD unique in the region - no comparable institutions - can draw some points of similarity with other regions outside South Asia - but needs to lift its game	High	on GESI this is not a current strength of the institution despite a number of staff having strong competency. This may be an area for future development to meet the CTA. Visibility of work on GESI is low on the website.
	2.5.3	C-4	Has ICIMODs work contributed to regional cooperation between RMCs and other actors? To what extent has this been possible? (Illustrate by means of some outstanding paradigms)>	Relationship	Regional cooperation in HKH thin - program initiatives on water, air etc, has tested new ground for collaboration with CSOs on govt side - the HKH A and CTA (UIBN and (KBI) significant for this region as examples	Medium	Transboundary work / river basin work has highlighted the gender aspects of e.g. water management. SWaRMA explicitly engaged women in Afghanistan in relation to training initiatives.

QQR ? # (from	#	Question (Any additional questions to be flagged and also then included in narrative and why)	Organisation Effectiveness	Summary of Finding from all data sources (see separate tab for details) - to be completed during the 'analysis week' as will form basis for reporting to ISG etc.	Data Quality Assessment	GESI Summary
2.2.1	E-1	To what extent has ICIMOD been able to achieve its seven strategic results (SR) as defined in its Strategic and Results Framework (SRF), 2017 and MTAP IV? How relevant were the Strategic results and how can they be improved for MTAPV?	Performance	On track to achieve the 7 strategic results - relevance (?) - they measured the performance of the regional programs but not the institutional results.	High	Whilst GESI appears in the SRF but this is not well resourced which restricts the achievement of results and the embedding of the learning into both ICIMOD, RMCs and partners long term work. There is more reporting in the Annual Report. Responsibility for GESI should be beyond the Gender Unit.
2.3.2	E-2	Is ICIMOD effectively measuring its results and outcomes? Has it developed an effective monitoring and evaluation (M&E) system which can fulfil the need for accountability and learning?	Performance	Not as an institution - the initiative and RP level probably OK - as institution has grown - need monitoring to be disentangled from evaluation. Accountability to donors etc. is sound. Learning esp. multidisciplinary is an area of weakness	High	Has a measurement but limited attention to the presentation of disaggregated results on gender and even more limited on social inclusion.
2.3.3	E-3	What evidence is there that ICIMOD is actively learning from its M&E system?	Performance	Not much evidence - area of significant weakness/real problem/very siloed and themes don't have the roles that they need - too formulaic	High	Limited.
2.3.5	E-4	Have management mechanisms been supportive to deliver results (Directorate, Finance, Administration, Human Resources and internal committees)?	Operational	Generally works but room for improvement in particular areas - process and admin heavy in some instances	High	Policies etc in place backed by management and institutional arrangements. Hiring / staffing / seniority and culture of how people are addressed is not always clear but compared to other local organisations likely to be seen as strong.
2.5.2	E-5	Has ICIMOD been able to adequately strengthen and engage strategically with these key stakeholders (in 2.5.1) for scaling up its approaches, results and innovations?	Relationship	It does engage and has platforms but there is structural resistance to innovation (esp. within governments) and ICIMOD has not responded with a strategy that works well on scaling and innovation with different kinds of partners/stakeholders (too many proceedings reports). Scaling is a huge weakness because they don't have a grip on policy processes/budget etc. Re	Medium	If the initial work is not well designed to address GESI then any scale up with partners is likely to also be limited in this area.
2.2.4	Ef-1	Has ICIMOD been able to achieve its focus on gender transformative change and inclusive development at various levels across its work, what barriers have been encountered and how have they been overcome?	Operational	Progress on gender, not clear on transformative change within the organisation, inclusive development an area of weakness. 10 years isn't a long time - institutionally considerable progress (Gender unit has made strong contributions) but some intrinsic issues - resourcing and accountability - analysis on the issue is thin/some programmatic work but patchy and limited. The fact that a gender audit commissioned indicates that there is an institutional awareness that this is an area that needs focus - the DGG may be able to get traction going forward - lot of expectation from DGG being a woman	High	Progress on gender, not clear on transformative change within the organisation, inclusive development an area of weakness. 10 years isn't a long time - institutionally considerable progress (Gender unit has made strong contributions) but some intrinsic issues - resourcing and accountability - analysis on the issue is thin/some programmatic work but patchy and limited. The fact that a gender audit commissioned indicates that there is an institutional awareness that this is an area that needs focus - the DGG may be able to get traction going forward - lot of expectation from DGG being a woman
2.3.6	Ef-2	to what extent is the current matrix structure of integration and multidisciplinary teams delivering the best possible results in an efficient and effective manner?	Operational	No. During its implementation the institution has grown which has increased admin /concretised it at the cost of flexibility and interdisciplinarity. Combined with the performance and incentives framework it has become unwieldy and source of tension with staff. Need to reconsider structure of themes / RPs/ KMC.	High	Limited role for the Gender Unit in the current matrix. As Gender Unit sites under the institution they are outside the main matrix. Gender then is not well integrated and overall learning is not embedded into current / future programming. IOD Parc Gender Audit finds that Gender specialists provide considerable inputs to the RPs, through the matrix system in ICIMOD but resourcing is a key issue.
2.3.7	Ef-3	How has ICIMOD adhered to its stated value for money principles in its operations?	Operational	Yes in broad terms. ICIMOD set out within MTAP IV period to 'ensure value for money in its operations through cost-efficient mobilisation of resources whilst ensuring regional effectiveness in output delivery'. Its closely managed internal processes in support of activity delivery and cost consciousness as part of this have been a constant over the period. There has also been close monitoring of output delivery within its programmes and initiatives. ICIMOD has not interrogated, reset or expanded its conception of VfM in a way that would align	RMCs - medium partners, donors etc - high	No specific GESI measures considered

QQR ? # (from	#	Question (Any additional questions to be flagged and also then included in narrative and why)	Organisation Effectiveness	Summary of Finding from all data sources (see separate tab for details) - to be completed during the 'analysis week' as will form basis for reporting to ISG etc.	Data Quality Assessment	GESI Summary
2.2.2	I-1	Has ICIMODs work contributed to its stated strategic impacts: i) reduced poverty; ii) enhance resilience by reducing physical and social vulnerabilities; and iii) enhanced ecosystem services.	Performance	Small scale gains - interesting studies in a few places - challenge of scale up and limited large scale attributable impact. Some positive evidence: CBFWS (floods) has reduced physical vulnerabilities; place based transboundary work lessons are leading to a greater understanding of the management challenges and potential solutions (long term task) that includes RP2 & RP3. RP 1 on resilience is now influencing IFAD's work in Nepal and the region	High	Not enough footprint in GESI area to include GESI. Partners likely to have more knowledge especially on poverty reduction. Long term approach on gathering / analysing evidence and monitoring changes is required. Need to build up a clear Community of Practice around GESI and Sustainable Mountain Development beyond 'pilot' work.
2.3.4 (1)	I-2	<b>Have the knowledge management and communications been able to help in achieving visibility and impact both at regional and global levels?</b>	Relationship	KMC strategy out of date (2013-2014). Well staffed unit - needs to be more effectively mobilised. But institutional understanding of KMC limited - focus on publications rather than knowledge and outreach. KMC as a service to the programs etc. but there is KMC as an institutional principle for a knowledge centre (lack of clarity on the role of KMC). Good at Mixed - need to distinguish between the different types of partner relationships.	High	GESI is limited on the website. No 'page' for this work? KMC can only disseminate what they produce. Need to build on the HKH-A chapter 14 and opportunities under the CtA / Ministerial Declaration.
2.3.4 (2)	I-3	<b>Has the strategic cooperation function of ICIMOD been able to deliver in promoting effective partnerships with programme partners, strategic cooperation with RMCs, funding agencies and private sector entities.</b>	Relationship	RMCs are ICIMOD - need to change language around partnering with RMCs. Need to own its inter-governmental status and use it more effectively. ICIMOD consider horizon scanning processes to inform RMC thinking. International dimension of ICIMOD (ISG) and its effects on perceptions externally (donor driven)/impact on ownership. RMCs cannot ask for more -	RMCs - medium partners, donors etc - high	Gender is more visible in partner documentation rather than social inclusion.
2.4.3	I-4	Where has ICIMOD added the most value in terms of its regional programmatic approach, themes and partnership building?	Performance	Establishing the 'most value' in relation to regional programmatic approach is not an 'exact' science. For ICIMOD staff they see major value in ecosystems work whilst they also accept that for RMCs the main focus may be in poverty reduction (staff survey). The way that working with an ecosystem approach (including broader monitoring) can contribute to a green Covid-19 recovery may need to be further worked out and does present an opportunity for ICIMOD.	High	Key examples highlighted in regional / transboundary at a basic level, gender, inclusion and participation. Swarm and cultural appropriate training. Scientific training has been making an effort to bring in women scientists / experts and documenting this.
2.5.1	I-5	To what extent has ICIMOD been successful in forging multi-stakeholder partnerships with RMC governments, civil society organisations, universities, research institutions, and the private sector? How much this has been able to contribute to realizing the ICIMOD mission?	Relationship	Partnerships: ICIMOD works with a broad range of partners - but not effectively or strategically leveraged. Under utilised asset. Partnership brokering approach novel for the region and introduces key principles of equity, due diligence. But very process focused - need to rationalise how much time spent on "partnering" - right sized by nature of partnership - more of an emphasis on co-creation with RMCs/partners particularly for MTAP V. Need to move beyond number of partners to actually utilising partnerships more effectively.	Medium	Generally ICIMOD does not have a strong track record of working with GESI specific organisations (researchers / NGOs / universities) - this could be further advanced to bring in stronger practical and analytical expertise in the future
2.3.1	S-1	Are arrangements for ICIMOD's BOG and committees and ISG effective for strategic governance and sustainability of ICIMOD in the changing context of the region and globally.	Operational	ICIMOD has maintained good relationships with RMCs which has helped secure an increase in funding. Current resource mobilisation is quite ad hoc - very donor driven - need to recognise core funding from key ISG members is critical as it helps ICIMOD response to emergencies, smooth over any gaps in funding - ICIMOD should consider developing an endowment and engaging with the private sector more effectively - improving their own local carbon	Medium	RMC representation currently are all male but ICIMOD has no control over this. CtA task force needs to consider explicitly the issue of GESI in its memberships either directly or through some form of specific sub-committee with recognised regional experts on GESI as invited members.
2.5.4	S-2	What evidence is there of increased RMC ownership of ICIMOD over the QQR period and what lessons have been learnt for the future.	Relationship	The Ministerial declaration on the HKH Call to Action is strong statement on RMC commitment to sustainable mountain development. Increase in RMC resourcing to ICIMOD is a positive sign - but need to sustain the engagement. RMCs need to be more proactive in their engagement with ICIMOD and need for more core creation with RMCs on the focal areas for ICIMOD in the short, medium and long term. Lessons for the future: consider more country level	Medium	GESI low on the agenda for RMCs although the CtA does contain reference to this area. This is a tricky area for ICIMOD to engage on and therefore focus on a participation - may need to deepen analysis, monitoring and engagement in future. For instance in relation to the SDG 'Leave No-One Behind' agenda in the 9 Mountain SDGs.
2.6.1	S-3	What is the value addition of ICIMODs' core funding by some donors compared to a project funding approached?	Strategic	Need to recognise that core funding from key ISG members is quite critical as it has helped ICIMOD respond to emergencies, tide over gaps in funding etc. Not clear whether core funding enables more innovation - or funding of more risky programs/ideas. Core funding has an important effect in terms of the positive message it sends to the organisation of ICIMOD being valued for what it delivers/ its mandate, which in turn has a motivating effect on staff. It has also been instrumental in steadily building up the financial reserves of the organisation to	Medium	Donor attention to GESI has been good for ICIMOD. Core funding does provide an opportunity to fund new work beyond requirements of programmatic funding. GESI in post Covid-19 is likely to be an important issues - how can ICIMOD contribute effectively. Does ICIMOD have the capacity to analyse, monitoring and implement in this area?
2.6.2	S-4	Assess the funding scenarios for ICIMOD and make recommendations for future support and fundraising strategies in the context of changing funding priorities.	Strategic	Need to reconsider fundraising strategy and approach (incl. creating dedicated fundraising/business development unit); considering enabling themes to raise funds for their work (science funding not development financing); very limited engagement with philanthropic foundations and private sector; consider developing an endowment; where	Medium	The analysis of different funding regimes should be viewed with a GESI lens alongside other issues of efficiency / utility etc.
2.6.3	S-5	Assess the sustainability of ICIMOD as a regional organization in terms of permanent sources of funding to continuously deliver its mandate in HKH region.	Strategic	50% program and 50% core 2/3 core comes from donor countries - with 1/3 of core from RMCs at the moment - the prospect of full RMC funding is bleak esp. in a post-Covid context as countries in the region grapple with an economic recession; conflict in Afghanistan/Myanmar etc. ICIMOD will need	High	see above
2.6.4	S-6	Assess the feasibility of GCF, AF, GEF and other global funding instruments for ICIMOD.	Strategic	Need for caution re multilateral funding and the terms and conditions for access and use as may come with a high administrative burden. It would be difficult for ICIMOD to find a niche. Leveraging partnerships with UNDP, FAO and other accredited agencies to provide the technical assistance for use of the data services available at ICIMOD.	Medium	The requirements of the funds on GESI should be carefully considered and whether a) they fit with ICIMODs skills sets and b) ICIMOD can effectively monitor and report. ICIMOD skills vis a vis other possible competitions (Waft / IUCN / Oxfam etc) may be weak.
2.6.5	S-7	Assess the ownership of the RMCs of ICIMOD in funding ICIMOD in line with ICIMODS RMC funding strategy.	Relationship	Within the MTAP IV period the level of core funding for ICIMOD has increased. In 2015 was around 30-40%. Currently at around 65%. In terms of the 10% of overall expenditure that relates to 'ICIMOD Support costs' a significant part of this is covered through the RMC contributions. RMCs also contribute to part of the core pot that is used to fund programme activities. Whilst increasing the prospect of full RMC funding is bleak esp. in a post-Covid	Medium	ICIMOD will need to ensure that any increased RMC funding does enable a focus on GESI to be retained. GESI as a fundamental principle at BOG level. A failure to address GESI due to funding issues would be an error if the commitment to Sustainable Mountain Development and mountain communities is to be realised.

# Annex 4: Supporting Material for Results and Impact Analysis

**Table A4:1 Mapping RP outcomes to Strategic Results (over 3 pages)**

**Presented below:**



SR and RP Mapping

FINAL



RP Outcome / Indicator mapping to SR (using SPME Excel documents)

Strategic Results	Indicator (From Annual Report)	Measurement Criteria	Adaptation and Resilience Building RP1 Outcome: Enhanced resilience of women and men in the HKH to socioeconomic and environmental changes	Transboundary Landscapes RP2 Outcome: Improved transboundary cooperation among member countries demonstrated through regional policies and strategic partnerships leading to sustenance of mountain ecosystem services and equitable livelihood benefits at regional landscape levels.	River Basin and Cryosphere RP3 Outcome: RMC policies, strategies, and development programme highly critical to water resources management and DRR in the HKH region influenced.	Atmosphere RP4 Outcome: RMCs use science-based knowledge and air quality, atmospheric processes and climate to shape policies and actions leading to air pollution mitigation for improved environmental and human health.	MENRIS RP5 Outcome: Significantly contribute to effective evidence-based decision making processes by governments, communities, and individuals using scientific data, earth observation information, and geospatial technologies in the areas of agriculture, the environment, natural resource, and climate change.	Mountain Knowledge and Action Networks RP6 Outcome: Enhanced capacity and collaboration among universities, research alliances, policy makers, and youth for sustainable development in the HKH and adjoining regions.
SR1: Widespread adoption of innovations and practices developed by ICIMOD and partners to adapt to change, leading to positive impacts for women, men, and children	ICIMOD-led innovations such as value chains, flood early warning systems, community water, soil and ecosystem management strategies at national, regional and global levels for poverty reduction and resilience building scaleup and out, measured by number, levels and quality	No. of <i>people</i> benefitted directly and indirectly No of institutions adopting innovation and practices No. of initiatives launched No. of sector	Indicator 1: Number of women and men who benefit from innovative interventions by reducing poverty, risk and vulnerabilities leading to resilience.	Indicator 1: Number of subnational, national, regional and global institutions and networks using programme inputs for developing good quality and inclusive projects. (plus some from RP Indicator 5)	Indicator 2: Number of organisations effectively using and adapting innovative, gender sensitive, and context specific resource management practices.	Indicator 5: Number of initiatives launched by governments, communities and the private sector to take sustainable, gender sensitive and socially inclusive measures.	Indicator 1: Number of institutions and programmes effectively using high-quality services and climate services for gender-sensitive and inclusive decision making on natural and social systems at different levels (community, national, sub-national, and regional) leading to reduced poverty, vulnerabilities and improve ecosystem services. and Indicator 2: Number of women and men using ICIMODS databases within and beyond the regional through innovative platforms.	
SR2 : Significant advances in the generation and use of relevant data, knowledge, and analysis.	Use of data and information by communities, government agencies, practitioners, and scientists in the HKH and outside measured by number and quality.	No. of peer reviewed publications No. of publication downloads No. of data downloads No. of citations	Indicator 2: Number of local institutions adopting gender sensitive, risk reduction, and resilience-building practices in areas of community DRR, tourism, access to clean energy, natural resource management, value chain development and adaptation to climate change.	Indicator 2: Number of high-quality long-term research and monitoring results used for the development of approaches to transboundary management, planning and implementation.		Indicator 1: Number of effective local, national and regional policies, process and strategies using inputs and analyses from the programme in the areas of air quality, and environmental and human health to foster air pollution mitigation (Policies for SR5)		Indicator3: Increased number and quality of peer-reviewed publications by network members

RP Outcome / Indicator mapping to SR (using SPME Excel documents)

Strategic Results	Indicator (From Annual Report)	Measurement Criteria	Adaptation and Resilience Building RP1 Outcome: Enhanced resilience of women and men in the HKH to socioeconomic and environmental changes	Transboundary Landscapes RP2 Outcome: Improved transboundary cooperation among member countries demonstrated through regional policies and strategic partnerships leading to sustenance of mountain ecosystem services and equitable livelihood benefits at regional landscape levels.	River Basin and Cryosphere RP3 Outcome: RMC policies, strategies, and development programme highly critical to water resources management and DRR in the HKH region influenced.	Atmosphere RP4 Outcome: RMCs use science-based knowledge and air quality, atmospheric processes and climate to shape policies and actions leading to air pollution mitigation for improved environmental and human health.	MENRIS RP5 Outcome: Significantly contribute to effective evidence-based decision making processes by governments, communities, and individuals using scientific data, earth observation information, and geospatial technologies in the areas of agriculture, the environment, natural resource, and climate change.	Mountain Knowledge and Action Networks RP6 Outcome: Enhanced capacity and collaboration among universities, research alliances, policy makers, and youth for sustainable development in the HKH and adjoining regions.
SR 3: Significant advances made in approaches and knowledge that promote gender equality and inclusive development.	Empowerment of women especially in disadvantaged communities as a results of ICIMOD led programmes measured by number, quality and types.	No. of GESI approaches promoted				Indicator 5: Number of initiatives launched by governments, communities and the private sector to take sustainable, gender sensitive and socially inclusive measures.		Indicator2: Number of instances that collaborative research and gender inclusive training programmes are organised by network members with their own resources.
SR 4: Significantly developed human and institutional capacity.	Capacity built of individuals and organisations in the HKH regiona measured by number and quality.	No. of <i>individuals</i> with increased capacity (direct and indirect)	Indicator 3: ( linked with SR3 and SR4) : Number of regional, national, and sub-national institutions making use of gender sensitive resilient mountain solutions approach promoted by the programme.	Indicator 5: (linked with SR 3 and 4) Number of women and men benefited equitably through integrated conservation and development of approaches in identified transboundary landscapes. (also some contribution to SR1)	Indicator 4: Number of selected RMCs with substantial amounts of Cryosphere in the territory having long term and scientifically robust monitoring programmes.	Indicator 4: Number of women and men, the number of institutions in the RMCs, empowered effectively through capacity building to address air pollution.	Indicator 3: Increased numbers of organisations and people (women and men) using Earth observation and geospatial solutions as a result of capacity development.	Indicator 1: Increased number of universities employing high-quality relevant curricula related to mountains and environmental economics influenced by the programme. And Indicator 4: Number of HUC fellows, both women and men, demonstrating effective SMD work following the completion of an HUC scholarship and leadership programme with priority to women.
		No. of <i>institutions</i> with increased capacity						

RP Outcome / Indicator mapping to SR (using SPME Excel documents)

Strategic Results	Indicator (From Annual Report)	Measurement Criteria	Adaptation and Resilience Building RP1 Outcome: Enhanced resilience of women and men in the HKH to socioeconomic and environmental changes	Transboundary Landscapes RP2 Outcome: Improved transboundary cooperation among member countries demonstrated through regional policies and strategic partnerships leading to sustenance of mountain ecosystem services and equitable livelihood benefits at regional landscape levels.	River Basin and Cryosphere RP3 Outcome: RMC policies, strategies, and development programme highly critical to water resources management and DRR in the HKH region influenced.	Atmosphere RP4 Outcome: RMCs use science-based knowledge and air quality, atmospheric processes and climate to shape policies and actions leading to air pollution mitigation for improved environmental and human health.	MENRIS RP5 Outcome: Significantly contribute to effective evidence-based decision making processes by governments, communities, and individuals using scientific data, earth observation information, and geospatial technologies in the areas of agriculture, the environment, natural resource, and climate change.	Mountain Knowledge and Action Networks RP6 Outcome: Enhanced capacity and collaboration among universities, research alliances, policy makers, and youth for sustainable development in the HKH and adjoining regions.
SR 5: Policies considerably influenced by the work of ICIMOD and its partners	changes in policies and decision-making processes at various levels measured by number and quality	No. of policies influenced	Indicator 4: Number of mountain-specific national or sub-national development policies making use of recommended practices.	Indicator 3: (linked with SR 5 and 6) Number of policies and decision-making processes influenced at sub-national and regional levels leading to sustainable landscape management.	Indicator 1: Number of policies and strategies using ICIMOD outputs related to integrative and inclusive water resource development and management, and equitable benefit.	Indicator 1: Number of effective local, national and regional policies, process and strategies using inputs and analyses from the programme in the areas of air quality, and environmental and human health to foster air pollution mitigation (strategies and processes to SR 2)		Indicator 6: Number of national and sub-national policies influenced by the programme that contribute to poverty reduction and reducing social vulnerabilities.
SR 6: Enhanced regional cooperation related to sustainable mountain development.	Collaborative RPs and initiatives in the region as a result of ICIMOD and partners programmes measured by number and quality.	No. of regional platforms promote cooperation	Indicator 5: Effective regional knowledge and experience sharing mechanism supporting RMCs to promote mountain-specific resilient practices.		Indicator 3: Number of organisations from RMCs engaged in regional cooperation on Cryosphere, climate services, and DRR contributing to reduced physical and social vulnerability.	Indicator 3: Evidence of effective regional collaboration on atmosphere, clean energy, or climate in HKH	Indicator 4: Effective mechanisms in place at national and regional levels that promote open access to scientific and geospatial data	Indicator 5: An effective regional platform that uses science-policy dialogues for regional cooperation leading to poverty reduction, improved ecosystem services, and reduced vulnerabilities.
SR 7: Global recognition of the importance of mountains to ensure improved and resilient livelihoods and ecosystems.	Citation and acknowledgement of ICIMOD inputs, analysis, and products in global policy processes, documents, and programmes measured by number and quality.	No. of global events and forums refers to ICIMOD inputs	Indicator 6: Number of global fora at which ICIMOD's mountain specific resilience agenda are promoted by RMC representatives and institutions.	Indicator 4: Number of references showing ICIMOD's highly quality contribution to global agenda settings (SDGs, UNFCCC, Global Landscapes Forum, IPBES, IPCC and CBD)		Indicator 2: Number of instances showing global policy processes (UNFCCC, CCAC, IPCC) influenced by the programme.	Indicator 5: Number of instances during which ICIMOD is recognised at global geospatial networks, forums, and exchanges.	

Table A4.2: Regional Programme Budget / timeframes

RP	Initiative/ Project	Timeframe for implementation		Financial		
		Start Date	End Date	Donor	Budget	Actual expenditure
1: A&R	<i>RMS</i>	10-Dec-13	31-Dec-22	Norway/SDC	8,071,653	6,916,358
	<i>Springshed</i>	05-Oct-20	30-Sep-23	SDC	714,908	37
	<i>REEECH</i>	10-Sep-19	31-Dec-22	UNIDO/FCDO/IRENA/ core	1,701,604	578,791
	<i>HIMALICA</i>	04-Dec-12	30-Apr-18	EU, core	11,800,526	11,736,924
2: TB	<i>HILIFE</i>	01-Jan-18	31-Dec-20	Core	1,532,879	1,214,080
	<i>HKPL</i>	01-Jan-18	31-Dec-20	Core	1389570	1,088,329
	<i>KSL</i>	01-Jan-18	31-Dec-22	Germany/ core	1,558,743	1,403,292
	<i>KL</i>	01-Jan-13	31-Dec-22	ADA/ GBIF/ UNEP/ EII/ core	2,352,166	1,919,816
	<i>REDD+</i>	01-Sep-14	31-Dec-22	Germany/ Norway/ core	3,505,331	3,299,972
	3: RB&C	<i>CRYOSPHERE</i>	21-Dec-17	31-Dec-22	Norway/ SDC/ UNDP/core	6,442,924
<i>INDUS</i>		01-Jul-16	31-Dec-22	DFAT/WB/SDC/Uni Utrecht /core	2,637,974	2,124,803
<i>KOSHI</i>		01-Jul-16	31-Dec-22	DFAT/ SDC/ Loughborough Uni/core	3,312,927	2,197,304
<i>SWaRMA</i>		01-Oct-17	31-Dec-20	DFAT/core	1,555,159	1,518,935
<i>Bhramaputra (Incl springs)</i>		01-Jul-16	31-Dec-20	DFAT	369,172	369,172
<i>RP-III Special</i>		01-Jan-18	31-Dec-20	FAO/core	250,000	230,326
<i>HIAWARE</i>		12-Feb-14	31-Dec-18	IDRC/core	6,261,531	5,982,249
4: ATM		<i>AWI</i>	10-Dec-13	31-Dec-22	Norway/FCDO/ USA/WHO/Uni of Nottingham	5,689,008
	<i>APS</i>	01-Nov-16	31-Mar-22	UNF/ FCDO/ UNEP/core	4,286,031	2,612,565

RP	Initiative/ Project	Timeframe for implementation		Financial		
		Start Date	End Date	Donor	Budget	Actual expenditure
5. MENRIS	<b>SERVIR</b>	01-Oct-15	31-Dec-21	USAID/ China/ Asian Disaster Preparedness Center/core	7,909,739	5,846,571
	<b>RDS</b>			Core	422,009	272,257
	<b>CLIMATE SERVICES</b>	27-Nov-19	31-Mar-22	FCDO/ Met Office	1,697,864	759,005
6. MKAN	<b>HIMAP</b>	31-Dec-18	30-Dec-23	FCDO/ SDC/ Norway/ The World Meteorological Organization/core	2,453,945	1,258,362
	<b>HUC</b>	23-Jan-17	31-Dec-20	SDC/The World Bank/ The Royal Uni of Bhutan/core	2,881,831	2,629,137
	<b>SANDEE</b>	01-Jan-17	31-Dec-20	IDRC/ Core	782,492	782,492

**Table A4.3: Contribution by Regional Programme to the MTAPIV Strategic Results (supplied by ICIMOD on 17 June 2021)**

Strategic Results	Measure	RP1 Contribution	RP2 Contribution	RP3 Contribution	RP4 Contribution	RP5 Contribution	RP6 Contribution	Cumulative
SR1: Widespread adoption of innovations and practices developed by ICIMOD and partners to adapt to change, leading to positive impacts for women, men, and children	No. of <i>people</i> benefitted directly and indirectly	8,072	620	3,216	-	-	-	11,908
	No of institutions adopting innovation and practices	8	54	22	3			87
	No. of initiatives launched				6			6
	No. of sector				2			2
SR2: Significant advances in the generation and use of relevant data, knowledge, and analysis.	No. of peer reviewed publications	-	-	-	-	-	-	276
	No. of publication downloads	-	-	-	-	-	-	2,845,096
	No. of data downloads	-	-	-	-	-	-	20,285
	No. of citations	-	-	-	-	-	-	20,580

Strategic Results	Measure	RP1 Contribution	RP2 Contribution	RP3 Contribution	RP4 Contribution	RP5 Contribution	RP6 Contribution	Cumulative
SR 3: Significant advances made in approaches and knowledge that promote gender equality and inclusive development.	No. of GESI approaches promoted	8	25	7	4		24	68
SR 4: Significantly developed human and institutional capacity.	No. of <i>individuals</i> with increased capacity (direct and indirect)		3,232	162	12	328	12	3,746
	No. of <i>institutions</i> with increased capacity	5		8	5	28	28	74
SR 5: Policies considerably influenced by the work of ICIMOD and its partners	No. of policies influenced	7	26	7	4		1	45
SR 6: Enhanced regional cooperation related to sustainable mountain development.	No. of regional platforms promote cooperation	4	4	55	6	20	5	94
SR 7: Global recognition of the importance of mountains to ensure improved and resilient livelihoods and ecosystems.	No. of global events and forums refers to ICIMOD inputs	10	19	3	8	3	2	45

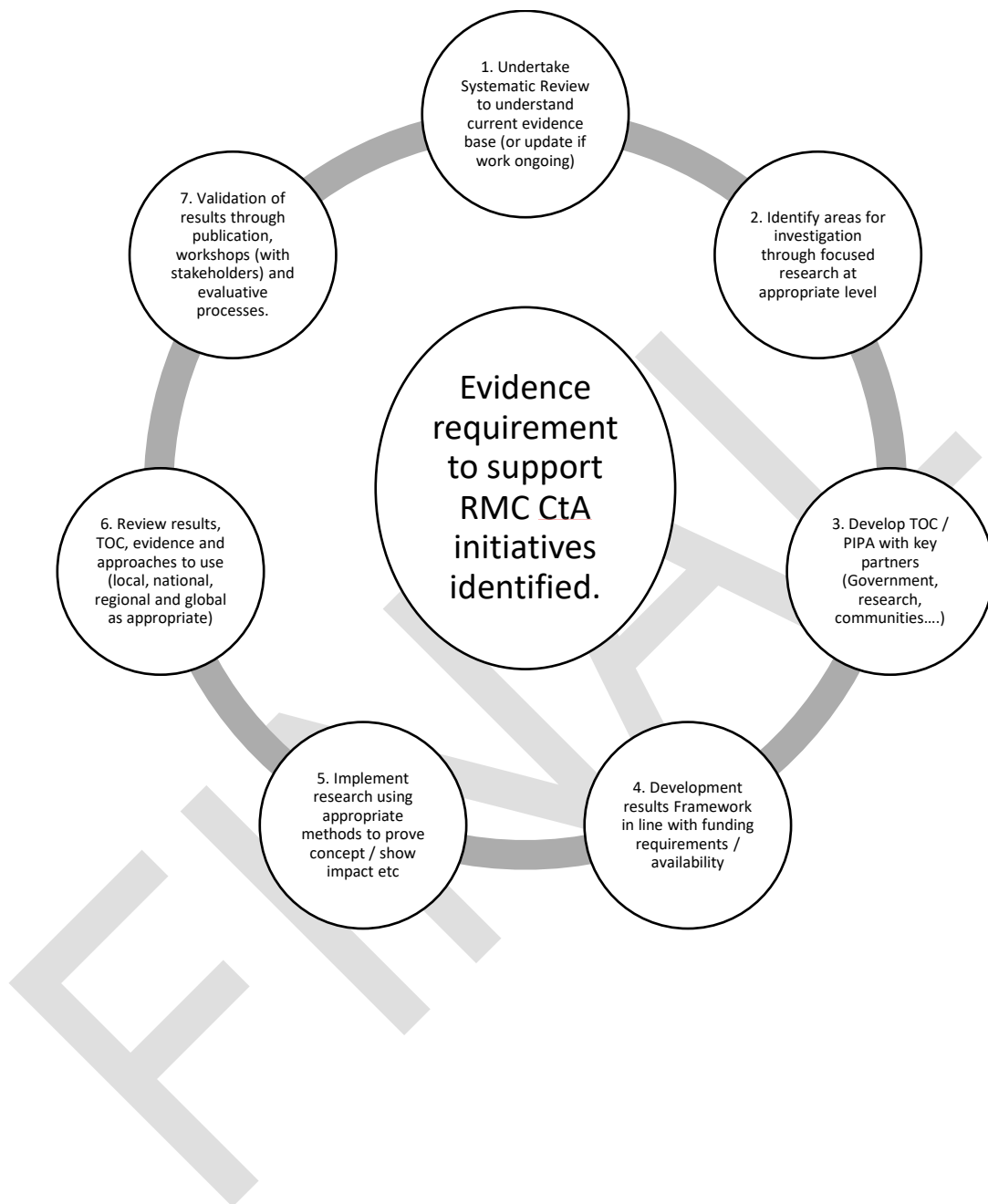
**Table A4.4: Evaluative studies (all types) undertaken during period of MTAPIV - to date (May 2021) - for ongoing and closed projects (compiled with SPME support)**

RP	Initiative / project	Timeframe		Dates of Evaluative Studies - undertaken to May 2021				Comments
		Start	End	Baseline	Endline	Evaluations / reviews	Others	
1: A&R	RMS	10-Dec-13	31-Dec-22					
	HimScale			Organic Model village, Haa, Bhutan (2020) Rasuwa District Nepal (2020) Dadeldhura (2019) OCAT -MIID Mynmar			Vulnerability Assessment: Rasuwa, Nepal (020) Dadeldhura, Nepal (2019)	
	Springshed	05-Oct-20	30-Sep-23					
	REECH	10-Sep-19	31-Dec-22	Baseline and needs assessment 2017; Baseline of energy start-up ongoing				Initiative launched/picked-up only an year ago
	HIMALICA	04-Dec-12	30-Apr-18	Baselines conducted in 2015	Endline conducted in 2017	Ex post evaluation 2020	Consolidated project closure report submitted to EU	
2: TB	HILIFE	01-Jan-18	31-Dec-20	Baseline of one of the livelihood intervention conducted in 2019 in China				HI-LIFE Completed inception phase (Landscape Journey) in 2020 only, and a formal Results Framework has been finalised in 2020 to help evaluate initiative's progress against set indicators.
	HKPL	01-Jan-18	31-Dec-20	2014 Holistic Baseline + value chain assessment of niche mountain products in Gilgit-Baltistan	Endline and impact assessment conducted in 2017			Results framework of HKPL revised and agreed in 2020 and aligned with core allocation being given to HKPL to better evaluate HKPL against given resources at the end
	KSL	01-Jan-18	31-Dec-22	Feasibility Assessment + Baseline for KSL Phase I conducted during MTAP-III	Conducted ex-ante impact assessment of Allo valuechain in 2017		GIZ 2017 evaluation	
	KL	01-Jan-13	31-Dec-22	Socio-economic of pilot sites (nd); Feasibility Assessment + Baseline conducted during MTAP-III				
	REDD+	01-Sep-14	31-Dec-22	Baseline of livelihood related intervention in REDD+ conducted in 2018				Special issues published about REDD+ Himalayas



RP	Initiative / project	Timeframe		Dates of Evaluative Studies - undertaken to May 2021				Comments
		Start	End	Baseline	Endline	Evaluations / reviews	Others	
3: RB&C	CRYOSPHERE	21-Dec-17	31-Dec-22	Virutal evaluation of CMP Bhutan conducted in 2020				
	INDUS	01-Jul-16	31-Dec-22	Ag Baseline (nd) Ag / Water / Domestic Energy 2018 Climate Hazard & Vulnerability (nd)			Situational Analysis on Water, Energy and agriculture and climate smart technologies (nd)	These studies were designed and conducted by ICIMOD for WWF
	KOSHI	01-Jul-16	31-Dec-22					
	SWaRMA	01-Oct-17	31-Dec-20	Baseline self assessments 2018: ANDMA KPU KU MAIL MEW FoFA		Tracer Study Report	Endline assessment 2019 for: ANDMA KPU KU MAIL MEW FoFA	
	Brahmaputra - inc springs	01-Jul-16	31-Dec-20					
	RPIII special	01-Jan-18	31-Dec-20					
	HIWARE	12-Feb-14	31-Dec-18					
4: ATM	ATM WATCH	10-Dec-13	31-Dec-22					
	APS	01-Nov-16	31-Mar-22	Pakistan Brick Kilns 2019			Productivity Gain Survey FCDO (DFID) Annual Reviews 18/19, 19/20 Political Economy of Bricks in Nepal; Factsheet for Pakistan; and Bankability document	
5: MENRIS	SERVIR	01-Oct-15	31-Dec-21	OCAT of 11 organisations OCAT MOALD Nepal		Tracer Study Report		
	RDS							
	CLIMATE SERVICES	27-Nov-19	31-Mar-22	Baseline Study for Pilot on Climate Services for Agriculture Sector in Chitwan District, Nepal (under process -design completed)		Evaluation of weather and climate services (agro-met advisories) in Pakistan- under process -inception report under review)		
6 IMKAN	HIMAP	31-Dec-18	30-Dec-23					
	HUC	23-Jan-17	31-Dec-20					
	SANDEE	01-Jan-17	31-Dec-20					Tracer study of SANDEE Capacity Building trainings; Evaluation of waste management research grant to SANDEE

**Figure A4.1: An Approach to incorporation of Systematic Review evidence into the ICIMOD Project Cycle (where appropriate).**



**Figure A4.2: Nested result hierarchy from initiative to regional impact**

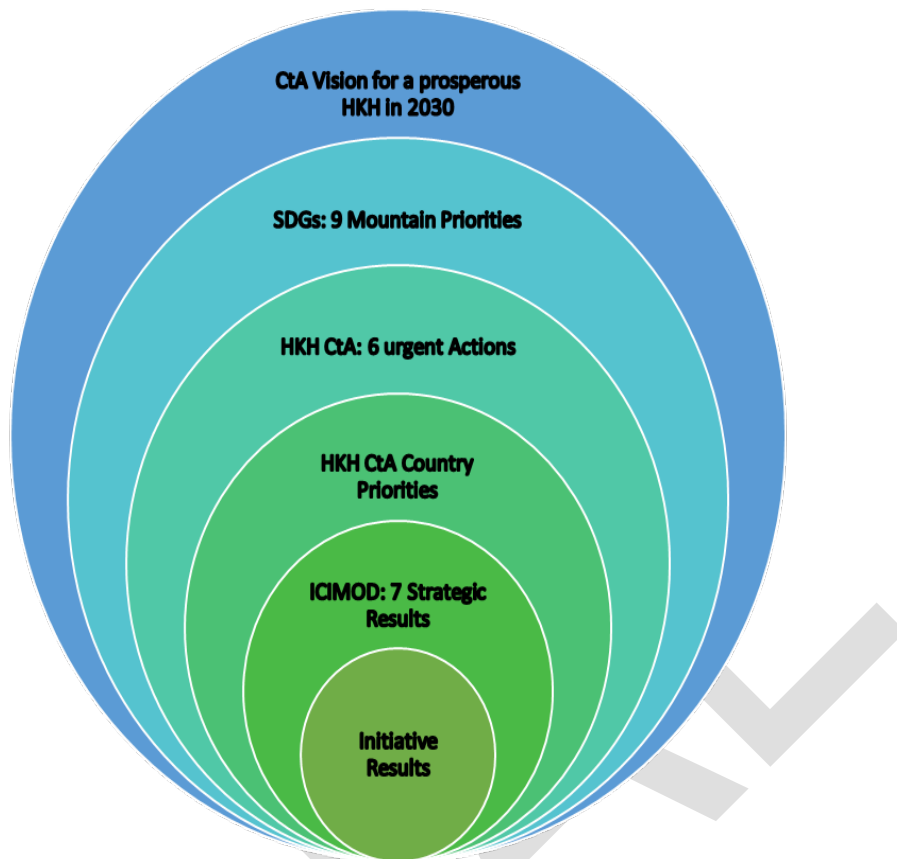


Figure A4.3: ICIMOD Multi-layered evidence and results framework

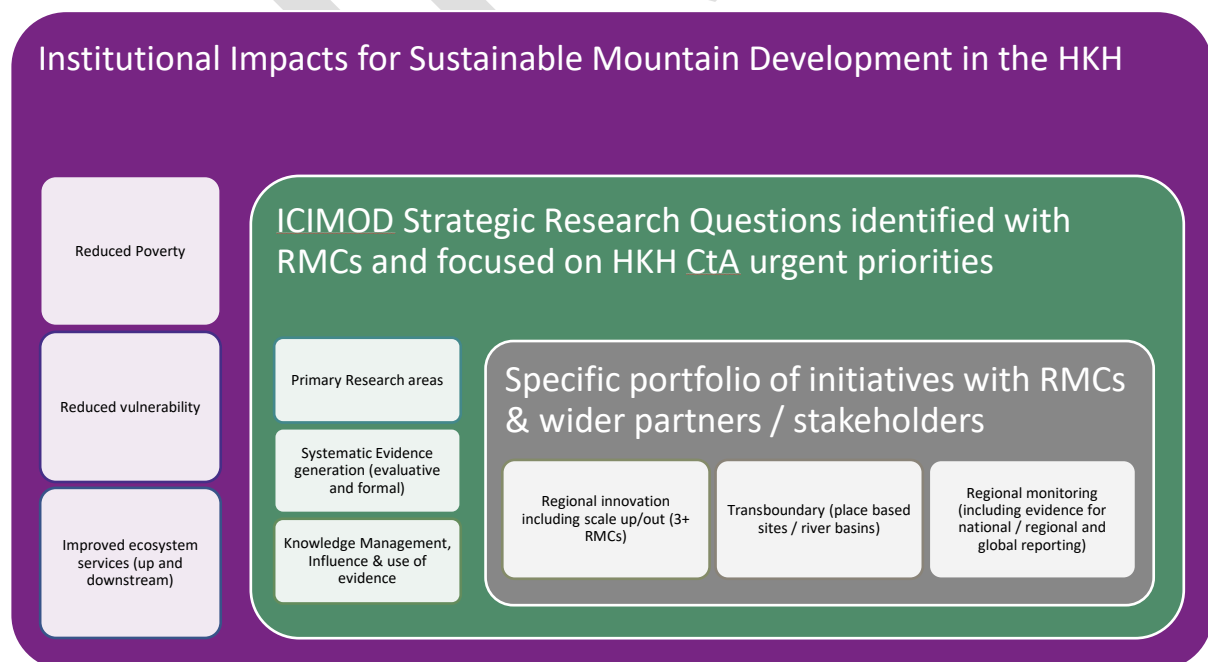


Figure A4.4: Possible redesign for Regional Programme / Initiative Summary

Regional Programme & Name of Initiative						
<b>1 Administrative Background</b>						
Start Date:	XXXX					
End Date (as currently known)	XXXX	Extension:	XXX			
Original Budget	XXXX	% from Core	XXX			
Additional Budget	XXXX					
<b>2 Coordinator</b>						
Contact Details	Yi Shaoliyang					
<b>3 Initiative Purpose</b>						
One sentence summary (20 words)						
One Paragraph summary						
<b>4 Funding agencies and budget: (add rows as required)</b>						
			PY x (date)	PY x (date)	PY x (date)	PY x (date)
1. Name	Budget (US\$)					
2. Name	Budget (US\$)					
3. Name	Budget (US\$)					
<b>5 Country Coverage &amp; Input summary (cash / in-kind)</b>						
			PY x (date)	PY x (date)	PY x (date)	PY x (date)
1. Name	Budget (US\$)					
2. Name	Budget (US\$)					
3. Name	Budget (US\$)					
<b>6 Partner/s in the region, role &amp; inputs summary (cash / in-kind)</b>						
			PY x (date)	PY x (date)	PY x (date)	PY x (date)
1. Name & Role	Budget (US\$)					
2. Name & Role	Budget (US\$)					
3. Name & Role	Budget (US\$)					
<b>7 Key Achievements Only the significantly achieved end results against the result framework by PY</b>						
PY x: PY x:						
<b>8 Initiative Innovations, their status e.g. concept proven, and plans for scale up / out if appropriate</b>						
Outline briefly what innovations have been implemented (with robust evidence) and their status (baseline, endline, concept proven) Outline briefly the process being adopted for scale-up / scale-out (if known) including links with wider processes, strategies, policy development and development investment as applicable.						
<b>RP Outcome Indicators relevant to the Initiative</b>	<b>MTAP-X Target</b>	<b>Initiative Contribution (Target) / Cumulative</b>	<b>PY x (date)</b>	<b>PY x (date)</b>	<b>PY x (date)</b>	<b>PY x (date)</b>
Indicator 1:						
Means of measurement						
Indicator 2:						
Means of measurement						
Indicator 3:						
Means of measurement						
Indicator 4:						
Means of measurement						
Indicator 5:						
Means of measurement						

# Annex 5: EU Science Hub: a learning companion for ICIMOD?

## EU Science Hub: Bringing together scientific knowledge for Europe

The Joint Research Centre (JRC) is the European Commission's science and knowledge service which employs scientists to carry out research to provide independent scientific advice and support to EU policy.<sup>64</sup> It operates with a long-term framework (7 years) set by the European Commission. Its 2-year workplan is negotiated with the Commission's Director General (20 sectors) to provide the ability for continuity as well as 'ad-hoc' responses.

It fosters interdisciplinary working and provision of high-quality support to decision making regulation development and related activities.

It has developed an important training function based around a set of competencies for both scientists and policy makers.<sup>65</sup> This role is vital to enable improvements in the joint framing of research questions within the evidence to policy system within the EC and the 27 member states.

It has published (2020) *Science for Policy Handbook* which 'provides advice on how to bring science to the attention of policymakers. This resource is dedicated to researchers and research organizations aiming to achieve policy impacts. The book includes lessons learned along the way, advice on new skills, practices for individual researchers, elements necessary for institutional change, and knowledge areas and processes in which to invest. It puts co-creation at the centre of Science for Policy 2.0, a more integrated model of knowledge-policy relationship.'<sup>66</sup>

In addition to the research work conducted by the Joint Research Centre they have recognized that other, in Europe and globally, are likely to be contributing to a similar agenda. They have therefore created a range of Knowledge and Competence Centres. Here the JRC plays a coordination role to 'process science-based evidence to inform policy-makers and to provide tools and services for all EU Policy areas'. This work is highlighted in their Knowledge for Policy work website where more detail can be found.<sup>67</sup> Here it is clearly stated that 'Knowledge4Policy (K4P) is the EU Commission's platform for **evidence-based policymaking**. Our goal: to bridge the science-policy gap by bringing together evidence for policy **from scientists across Europe, to policymakers across Europe**.'<sup>68</sup>

A key lesson from the work of the EC-JRC is to understand the Knowledge Ecosystem<sup>69</sup> and the roles (and responsibilities) of those who act as Knowledge Brokers between science and policy making.<sup>70</sup>

---

<sup>64</sup> <https://ec.europa.eu/jrc/en>

<sup>65</sup> [https://knowledge4policy.ec.europa.eu/evidence-informed-policy-making/topic/learning-development\\_en](https://knowledge4policy.ec.europa.eu/evidence-informed-policy-making/topic/learning-development_en)

<sup>66</sup> Open-Source book available for download at <https://www.sciencedirect.com/book/9780128225967/science-for-policy-handbook>

<sup>67</sup> [https://knowledge4policy.ec.europa.eu/home\\_en](https://knowledge4policy.ec.europa.eu/home_en)

<sup>68</sup> Ibid.

<sup>69</sup> Ecosystems of science for policy: [https://knowledge4policy.ec.europa.eu/evidence-informed-policy-making/topic/science-policy-ecosystems\\_en](https://knowledge4policy.ec.europa.eu/evidence-informed-policy-making/topic/science-policy-ecosystems_en)

<sup>70</sup> Peter D. Gluckman et al (2021) Brokerage at the science-policy interface: from conceptual framework to practical guidance. Humanities & Social Sciences Communications. <https://www.nature.com/articles/s41599-021-00756-3>

## Potential lessons for ICIMOD?

- Whilst the EC Joint Research Centre operates in a different context it is a science and knowledge service which carries out research and provides **independent** scientific advice to a defined organisation.
- It has been grappling with the issues of scientific expert and policy making competencies to be able to share and understand evidence within a range of policy processes (including 27 member states). It has developed a competency framework (still being tested) for training both scientists and policy makers / decision makers in the complex but necessary shared process around the evidence to policy and implementation process.
- Fostering processes of co-creation of research questions, building of trust between scientists and policy makers as well as across diverse subject areas is seen as vital for effective and focused scientific research for policy making.
- Longer term horizons can enable continuity of funding for research in increasingly complex areas whilst enabling 'ad-hoc' responses to emergencies (Covid-19) and other areas not included in the original 7-year strategy.
- Linking with wider networks where scientists and policy makers can be brought together to increase the demand for science advice by policy makers. The International Network for Government Science Advice has an Asia chapter, and several Regional Member Countries are members.<sup>71</sup>

### Recommendation:

ICIMOD should approach, perhaps with support of the EU in Nepal, the JRC to have a joint learning session on science-policy interface with a focus on regional research and regulation as well as areas of global common concern such as Biodiversity, Climate Change, and the Sustainable Development Goals.

---

<sup>71</sup> INGSA Asia (capacity building workshops): <https://www.ingsa.org/chapters/ingsa-asia/>

## Annex 6: Initial mapping of ICIMOD's work to CTA 9 Mountain Priority SDGs

Mountain Priority & Targets	SDG Link (corresponding target) <sup>72</sup>	Possible SDG Indicators <sup>73</sup>	ICIMOD Initiative Link <sup>74</sup>
(1) End poverty in all its form everywhere in the mountains and ensure that women, men and children of the HKH region lead healthy lives in an inclusive and equitable environment			
Reduce income poverty to zero in mountain areas by 2030	SDG 1(1.1)	1.1.1	1) learning hubs adopting nature-based solutions (RP1, p6) 2) SABAH Nepal working with women entrepreneur's initiative (RP1, p6) 3) Tourovation Hub Nepal (RP1, p17) 4) Bird photography tourism in Baihualing, China (RP2, 9)
Reduce non-income poverty including health, education, and other basic needs to zero in mountain areas by 2030	SDG 3	3.8.1 3.8.2	1) Health: work to reduce air pollution (RP4, p11) 2) Education: work on curriculum development (RP4), work on strategy for sustainable mountain education futures (RP6), some other examples including educational research, capacity building activities etc
	SDG 4	4.1.1 4.2.2 4.3.1	
Achieve universal health coverage, access to quality healthcare services and access to safe, effective, quality, and affordable essential medicines and vaccines for all people in	SDG 3 (3.7, 3.8)	3.8.1 3.8.2	See above on air pollution mitigation

<sup>72</sup> All information on SDGs drawn from:

<https://sustainabledevelopment.un.org/content/documents/21252030%20Agenda%20for%20Sustainable%20Development%20web.pdf>

<sup>73</sup> The reference document for the SDG indicators can be found here: <https://sustainabledevelopment.un.org/content/documents/11803Official-List-of-Proposed-SDG-Indicators.pdf>

<sup>74</sup> Evidence for the ICIMOD initiative link column is drawn from the ICIMOD Annual Progress Report 2020 for Regional Programmes I-IV

Mountain Priority & Targets	SDG Link (corresponding target) <sup>72</sup>	Possible SDG Indicators <sup>73</sup>	ICIMOD Initiative Link <sup>74</sup>
the mountains			
Ensure free, equitable and quality primary and secondary education to all girls and boys in the mountains	SDG 4 (4.1)	4.1.1	Work in education seems to focus predominantly on higher education
Facilitate orderly, safe, and responsible migration and mobility of people within and between mountainous and non-mountainous areas	SDG 10 (10.7)	10.7.1 10.7.2	1) studies on Covid-19 return migration (RP 2, 11) 2) journal article on food security and migration (RP2, 13)
(2) Build resilient, equitable and inclusive mountain communities empowered by economic opportunity and investment in mountain infrastructure and connectivity			
Develop sustainable and resilient infrastructure and urban systems in the mountains to support economic development and human well-being	SDG 9 (9.1)	9.1.1 9.1.2	No mention of participation in infrastructure projects, only used in the context of IT or geospatial knowledge systems.
Sustain per capita economic growth in the mountains and at least 7% annual GDP growth	SDG 8 (8.1)	8.1.1	Only work in this area appears to be tangential e.g., 1) capacity building in kiln workers to adopt new technology to improve livelihoods 2) research work through SANDEE and education of students in economics (RP 6, p6) 3) Financial landscape report (RP1, p14) 4) various tourism projects. However, even this work tends to focus on environmental economics rather than growth.
Devise and implement mountain specific policies to promote sustainable mountain tourism, which creates local jobs, promotes local culture and products	SDG 8 (8.9)	8.9.1 8.9.2	1) studies and various knowledge production activities on tourism (e.g., RP6, p8; RP2, p11) which can have policy influence and wider impact 2) HI-LIFE Initiative on innovation in regional tourism amongst other things (RP2, p5) 3) training of Chinese, Indian, and Myanmar's gov officials in tourism management (RP2, p8)
Achieve access to full and productive employment and decent work for all	SDG 8 (8.5)	8.5.1 8.5.2	1) Generation of knowledge products shared with brick kiln workers (RP4, p15)



Mountain Priority & Targets	SDG Link (corresponding target) <sup>72</sup>	Possible SDG Indicators <sup>73</sup>	ICIMOD Initiative Link <sup>74</sup>
women and men in the mountains, and equal pay for work of equal value.			2) agricultural water, energy and hazard management for resilience and livelihoods (RP3, p7)
Protect labour rights and promote safe and secure working environments for all workers, including migrant workers from mountain areas, in particular women and those in precarious employment.	SDG 8 (8.8)	8.8.1 8.8.2	1) APS Initiative focusing on improving working conditions amongst migrant workers and women (RP4, p15) 2) promotion of social codes of conduct for improved working conditions for women workers (RP4, p16)
<b>(3) Achieve gender and social equity through inclusive and transformative change in the mountains</b>			
Eliminate all forms of violence against all women and girls	SDG 5(5.2)	5.2.1 5.2.2	No evidence found
Ensure effective participation and equal opportunities for leadership for women and marginalized groups at all levels of decision-making in political, economic and public life	SDG 5 (5.5)	5.5.1 5.5.2	1) work on women's participation in water resource management (RP3, p11, p25) 2) work on women's participation in research in Myanmar (RP6, p10)
Increase number of women in institutions by at least 100%, particularly at the decision-making levels	SDG 5(5.5)	5.5.1 5.5.2	See above
Adopt and strengthen policies and legislation for the promotion of gender and social equality and the empowerment of women and girls at all levels, with a focus on mountains	SDG 5(5.c)	5.c.1	1) Number of Gender Action Plans in place 2) UIBN Pakistan established Gender Resource Group working on policy inputs (RP3, p11) 3)
Eliminate gender disparities in education in the mountains	SDG 4(4.5)	4.5.1	

Mountain Priority & Targets	SDG Link (corresponding target) <sup>72</sup>	Possible SDG Indicators <sup>73</sup>	ICIMOD Initiative Link <sup>74</sup>
Empower and promote the social, economic and political inclusion of all irrespective of age, sex, race, ethnicity, origin, religion or economic or other status	SDG 10(10.2)	10.2.1	1) Gender Action Plans include effort to be more inclusive in capacity building 2) Other GESI activities by building research and training capacity of women 3) knowledge exchange platforms promoting resilient and inclusive covid recovery (RP1, 4) Partnership promotion with women organisations (RP5, p8)
<b>(4) Promote sustainable production systems to assure food security, nutrition security, and income for mountain people, with particular attention to women's changing roles in agriculture</b>			
End all forms of malnutrition in the mountains and improve food and nutrition security, particularly for women and girl children	SDG 2(2.2)	2.2.1 2.2.2	1) Webinars on food and nutrition security (RP2, p12)
Increase investment in rural infrastructure, agricultural research, technology development, and plant and livestock gene banks in the mountains to improve agricultural productive capacity	SDG 2(2.a)	2.a.1 2.a.2	N/A
Enable higher incomes for small-scale farmers, including women farmers	SDG 2(2.3)	2.3.1 2.3.2	1) IBI pilot interventions engaging women farmers (RP3, p13) 2) work assisting SABAH to support transformation of women farmers' businesses during Covid-19 (RP1, p4)
Achieve sustainable management and efficient use of natural resources	SDG 12(12.2)	12.2.1 12.2.2	1) Transboundary Landscapes work that visualises conservation and sustainable use of natural resources (RP2, p3) 2) MENRIS work strengthens information services in the mountain communities to help with natural resource management (RP5, p2)
<b>(5) Guarantee universal access to clean energy in the mountains from sources that are affordable, reliable, and sustainable</b>			
Ensure universal access to clean and affordable energy by mountain people	SDG 7(7.1)	7.1.1 7.1.2	1) Work on solar-powered irrigation systems (SPIS), the hydromam pump, integrated river basin management and sustainable hydropower contributes to SDG 7 affordable and clean energy (RP3, p3) 2) a lot of focus in cryosphere initiatives on the water-energy-food nexus (RP3, p13) 3) Research and policy lobbying in Lahore that influenced adoption of energy-efficient and environmentally friendly zig-zag technology

Mountain Priority & Targets	SDG Link (corresponding target) <sup>72</sup>	Possible SDG Indicators <sup>73</sup>	ICIMOD Initiative Link <sup>74</sup>
			4) advocacy work on clean energy production (RP4, p10) 5) environmental and energy economics seminar (RP6, p11)
Increase electrification in rural areas	SDG 7(7.1)	7.1.1	1) promotion of hydroelectricity and access to electric cooking options for mountain communities (RP4, p1) 2) policy inputs to draft national energy policy, which looks to improve access to electricity in India (RP1, p15)
Increase use of renewable energy and energy efficiency measures	SDG 7(7.1, 7.3)	7.1.2 7.3.1	1) Work on improving energy efficiency in brick kiln technology (RP4, p13) 2) REEECH initiative: development of draft energy profile for RMCs to use as a baseline and decision support tool (RP1, p3)
Decrease air pollution	SDG 3(3.9)	3.9.1	1) Air Pollution Solutions Initiatives, which engages in various pilots and behavioural change campaigns to reduce air pollution (RP4, p2) 2) Publishing of papers to support IPCC decision-making on air pollution (RP4, p4) 3) capacity building activities to prevent air pollution (RP4, p4) 4) Atmospheric Watch Initiative, promoting science-based knowledge to reduce air pollution (RP4, p5)
	SDG 11(11.6 - although the original goal highlights reduced air pollution for cities)	11.6.2	
Increase access to clean energy sources for women to decrease their workload, time and drudgery, and empower them as energy entrepreneurs	N/A		See Row 23
(6) Ensure a year-round secure water supply in the mountains with universal and affordable access to safe drinking water, sanitation, and water for productive purposes			
Achieve universal and equitable access to safe and affordable drinking water to all mountain people by 2030.	SDG 6(6.1)	6.1.1	1) Promotion of workplace code of conduct, with access to drinking water one of the key principles (RP4, p16) 2) Various water resource management activities (RP3, p11, for example) 3) Production of knowledge outputs for use by policy makers in inclusive water resource development (RP3, p12) 4) Provision of technical knowledge and backstopping on watershed management activities (RP2, p14)
Achieve access to adequate and equitable sanitation services and hygiene education for all in mountain regions	SDG 6(6.2)	6.2.1	1) work on solar-powered irrigation systems (SPIS), the hydromam pump, integrated river basin management and sustainable hydropower contributes to SDG 6 clean water and sanitation (RP3, p3)

Mountain Priority & Targets	SDG Link (corresponding target) <sup>72</sup>	Possible SDG Indicators <sup>73</sup>	ICIMOD Initiative Link <sup>74</sup>
Reduce the workload and time spent by women and children in collecting water by 2030	N/A		See above
Create secure water supply for key development sectors (agriculture, energy) that are viable year-round	N/A		See above
Build effective and efficient mechanisms to implement and monitor transboundary cooperation agreements.	SDG 6(6.5)	6.5.2	1) KSLCDI initiative strengthens transboundary cooperation mechanisms through coaxing of regional policies and strategic partnerships (RP2, p41) 2) Hosting of regional events (RP2, p45)
Support and strengthen the participation and decision making of mountain women and men communities in water management	SDG 6(6.b)	6.b.1	
(7) Halt biodiversity loss, land degradation and sustainably manage forests and other ecosystems in the mountains to enhance ecosystem resilience for sustained flow of services			
Ensure the conservation of mountain ecosystems, biodiversity and habitats	SDG 15(15.4)	15.4.1 15.4.2	1) Issuance of Freshwater Ecosystem Assessment guidelines as example of knowledge production in this area (RP3, p2) 2) cryosphere services (enhanced ecosystem services) work (RP3, p7)
Take urgent action to minimise human wildlife conflict and end poaching and trafficking of protected species of flora and fauna in the mountains.	SDG 15(15.7)	15.7.1	1) Completion of topical reviews on human-wildlife conflict (RP2, p4) 2) Research on mapping hotspots of human-wildlife conflict (RP2, p4) 3) publications on illegal wildlife trade (RP2, p22)
Reduce ecosystem degradation by development projects by 50% and restore degraded ecosystems	SDG 15(15.3)	15.3.1	1) promotion of modernised brick kiln activities contribute to decreased degradation (RP4, p12) 2) REDD+ Initiative in 4 RMCs to promote uptake of REDD+ instruments (RP2, p25) 3) Monitoring of forest coverage (RP2, p47)
Include ecosystem values in national accounting system and practices	SDG 15(15.9)	15.9.1 (refers to Aichi Biodiversity	Couldn't find data on this

Mountain Priority & Targets	SDG Link (corresponding target) <sup>72</sup>	Possible SDG Indicators <sup>73</sup>	ICIMOD Initiative Link <sup>74</sup>
		Targets, of which this ICIMOD priority would fall under Strategic Goal A) <sup>75</sup>	
Identify incentives for conserving benefits from mountain ecosystems	SDG 15(15.b - adapted here for mountain ecosystems rather than forests as in original goal)	15.b.1	1) work on managing water resources with focused work on incentives for ecosystem services and revival of springs (RP3, p2)
Increase investment in biodiversity conservation, and ecosystem-based adaptation and sustaining services by 50% by 2030	SDG 15(15.a)	15.a.1	1) KLCDI Initiative one example of work in conservation area (RP2, p15) - however, not explicit about whether these conservation initiatives increase investment levels
Ensure 100% meaningful community participation in biodiversity programmes at the local level	N/A		1) biodiversity education programme in Yaojiaping (RP2, p7)
Increase women's representation and meaningful participation in decision making processes by 50% in natural resource access and benefit sharing programmes	SDG 5 (5.a)	5.a.1(a) 5.a.1(b) 5.a.2	1) various mentions of policies and strategies that contribute to equitable benefit sharing (e.g., RP3, p12)
Establish a mountain specific database for species and ecosystem services	N/A		1) database generation work on river basins (RP3, p4) 2) Database on GLOF events (RP3, p5) 3) cryosphere Regional Database System (RP3, p5)
(8) Ensure integration between adaptation to climate change, disaster risk reduction, and sustainable development for the mountains through evidence-based decision making			
Take concerted action to keep global warming to 1.5 degrees by 2100.	N/A		too broad to signal specific activities, refers more to broad mandate of ICIMOD

<sup>75</sup> The reference document for the Aichi Biodiversity targets can be found here: <https://www.cbd.int/doc/strategic-plan/2011-2020/Aichi-Targets-EN.pdf>

Mountain Priority & Targets	SDG Link (corresponding target) <sup>72</sup>	Possible SDG Indicators <sup>73</sup>	ICIMOD Initiative Link <sup>74</sup>
Strengthen resilience and adaptive capacity to climate related hazards and natural disasters in the mountains.	SDG 13(13.1)	13.1.1 13.1.2	1) Work with partners to enhance cryosphere monitoring disaster risk assessments (RP3, p3) 2) Indus Basin Initiative support for partners to engage in water induced hazard management (RP3, p10) 3) Partner capacity building to build access to early warning systems (RP3, p22)
Reduce mortality rates, especially for women and children due to extreme climate events	SDG 1(1.5)	1.5.1, (adapted for women and children)	See above
Reduce economic losses due to extreme climate events	SDG 1(1.5)	1.5.2	See Row 44
Integrate mountain specific climate change measures into national policies, strategies and planning.	SDG 13(13.2 adapted for mountains)	13.2.1	1) Working on various projects in tandem with governments of Bhutan, Nepal, Myanmar, and Bangladesh on conservation and forestry efforts (RP1, p9)
<b>(9) Promote a mountain-specific agenda for achieving the SDGs through increased regional cooperation among and between mountain regions and nations</b>			
Cooperate at all levels across the HKH region for sustainable and mutual benefits.	Generically applies to several specific SDG areas (SDGs 1, 2, 4, 6, 7, 14, 16, 17)	??	1) facilitation of cooperation on cryosphere, climate services, and DRR through joint research and capacity building (e.g., RP3, p3) 2) enhanced regional cooperation on sustainable mountain development through joint UIBN-AC activities (RP3, p25) 3) Promotion of partnership through various Summit events and joint policy positions (RP6, p11) 4) Sharing of yak genetic resources in example of transboundary cooperation between Nepal, India, and Bhutan (RP2, p3)
Enhance regional and international cooperation and access to science, technology and innovation to achieve the SDGs in mountain areas	SDG 17 (17.6)	17.6.1 17.6.2	See above, certain innovations relevant to farming practices shared
In national, regional, and global decision-making institutions and processes, recognize and prioritize the uniqueness of the HKH and its people. Ensure representation in decision-making.	SDG 10(10.6)	10.6.1	
	SDG 16(16.7)	16.7.1 16.7.2	

Mountain Priority & Targets	SDG Link (corresponding target) <sup>72</sup>	Possible SDG Indicators <sup>73</sup>	ICIMOD Initiative Link <sup>74</sup>
Allocate significantly greater resources and identify incentives for conservation of benefits from mountain ecosystems.	SDG 15(15.b)	15.b.1	Already addressed above
Enhance capacity-building support to HKH countries to increase significantly the availability of high quality, timely, reliable data that is specific to mountain regions, disaggregated by income, gender, age, race, ethnicity, migratory status and disability	SDG 17(17.18)	17.18.1 17.18.2 17.18.3	Very broad portfolio of work in this area, includes examples such as:  1) river basins and cryosphere work to address data gaps (RP3, p2)
Equal protection of migrants under effective rule of law and good governance	N/A		1) APS Initiative focusing on improving working conditions amongst migrant workers and women (RP4, p15)

# Annex 7: ICIMOD Organisational Effectiveness Analysis

**Table A7.1: Detailed lines of inquiry for Organisational Effectiveness**

Organisational effectiveness: Performance area	Key areas of attention – organisational effectiveness inquiry [source Table A1.3 Inception Report]	Document review [INTENT, Effort, Effect]	Staff interviews – <i>open ended Q</i> [Intent, EFFORT, EFFECT]	Lead Q for Interview#	Staff Survey
Strategic management	A. Analysis of comparative advantage	Articulation of comparative advantage – supporting analysis	<p>Q. Where does ICIMOD's comparative advantage make the most difference?</p> <p>Q. Is the comparative strength of ICIMOD being fully utilized? / under threat?</p>	3.2 5.2 7.1 12.1	Aligning Q.
	B. Operating model in agreement with vision of strategic plan	<p>Clarity of responsibilities for results.</p> <p>Expectations (being met?) of Operational Matrix</p> <p>(increasing? proportionate?) Nature and scale of organisational resources expended across ICIMOD on the activity of partnering.</p>	<p>Q. What do you see as the underpinning logic of the Operational Matrix?</p> <p>Q. Where in practice does the Matrix deliver for ICIMOD? – strong cooperation across the organisation and with other agencies?</p> <p>Q. How does ICIMOD as an organisation view strategically its work on partnering? [ref. IR leading Q]</p>	2.2 2.3 4.1 5.2 6.1	Aligning Q.
	C. Financial framework supports mandate implementation	Funding profile & trends set against ICIMOD strategic intent (core/ non-core)	Q. How does ICIMOD encourage (donors) to provide sufficiently flexible funding?	2.1 2.3 5.2 5.4	Aligning Q.



Organisational effectiveness: Performance area	Key areas of attention – organisational effectiveness inquiry [source Table A1.3 Inception Report]	Document review [INTENT, Effort, Effect]	Staff interviews – <i>open ended Q</i> [Intent, EFFORT, EFFECT]	Lead Q for Interview#	Staff Survey
		Frequency and nature of review of the financial framework by the governing bodies	Q. Does the existing approach within ICIMOD to fund-raising need to change?  Q. How does ICIMOD ensure – within resources it has – that all priority areas are adequately funded?	12.1	
	D. Structures and mechanisms support cross cutting focus on GESI	Dedicated Policy statements and Action Plans  Nature and frequency of review/ updating	Q. How do accountability systems in ICIMOD reflect the organisational drive on GESI indicators and targets?  Q. How are human and financial resource availability in ICIMOD gauged to reflect the intent to deliver on GESI?	1.1 5.3 9.1 9.2 14.2	Aligning Q.
	E. Positioning and resourcing of internal change processes	Specific change/ improvement plans at strategic (whole org) level within specific functional areas  Related monitoring, evaluation and learning processes for organisational change/ improvement initiatives.	Q. What shapes and drives the setting of the reform/ improvement agenda within ICIMOD?  Q. How are (current) change/ improvement processes within ICIMOD being managed?	2.3 3.2 5.2 [5.4] [8.1] 12.1 [14.1]	
Operational management	F. Continuous alignment of financial and human resources to functional demands of strategic plan. [This to include anti-	How staffing and finance were developed and adapted to the demands of the MTAP	Q. Where have internal (staffing) restructuring exercises been undertaken? What has driven this?	1.1 2.1 2.2 2.3 [5.1]	Aligning Q.

Organisational effectiveness: Performance area	Key areas of attention – organisational effectiveness inquiry [source Table A1.3 Inception Report]	Document review [INTENT, Effort, Effect]	Staff interviews – <i>open ended Q</i> [Intent, EFFORT, EFFECT]	Lead Q for Interview#	Staff Survey
	corruption in hiring of consultants, awarding contracts and procurement of equipment etc.]	How procurement practices have enabled delivery against the strategic plan	<p>Q. How much of your time is spent on partnership(s) management activity? Is this increasing/decreasing? Proving to be more or less effective? [ref IR leading Q]</p> <p>Q. Where are the key financial resource gaps behind the demands of the strategic plan? are these gaps long-standing or recent?</p>	5.3 [8.1] 9.1 16.2	
	G. Clarity of and practice of delegated authority within the organisational structure (reallocation of resources/ programming)	Statements - responsibility assignment matrix.	<p>Q. Is there sufficient clarity on where decision making authority lies (at different levels) in ICIMOD?</p> <p>Q. Do staff feel able to act on their delegated authority?</p>	2.1 2.2 3.2 [5.2] [9.1] [12.1] 12.2	
	H. HR (performance assessment system) clearly linked to corporate objectives.	Description of the performance assessment system and data/ reflections on how consistently/ how well it is operating	<p>Q. Is the performance assessment system systematically implemented across the organisation?</p> <p>Q. Does performance assessment inform decision making applied to promotion, incentives, rewards, sanctions etc?</p>	2.2 5.3 [9.1] [12.1]	
	i. Effectiveness of programme matrix structure in delivering integrated programme	Description of the matrix structure and data/ reflections on how it is functioning – and management response.	Q. What is the strongest aspect of the matrix structure for integrated programming? The weakest link? Is it a (structural) design problem or a staff capability problem?	2.1 3.2 [5.1] [5.2] 5.3	

Organisational effectiveness: Performance area	Key areas of attention – organisational effectiveness inquiry [source Table A1.3 Inception Report]	Document review [INTENT, Effort, Effect]	Staff interviews – <i>open ended</i> Q [Intent, EFFORT, EFFECT]	Lead Q for Interview#	Staff Survey
	in multidisciplinary manner?			9.2 14.1 16.2	
	J. Allocated resources disbursed to partners as planned	Data/ patterns of disbursement (to ICIMOD partners) against plans/targets (institutional margins) set	Q. What drives / what affects disbursement of resources to ICIMOD partners?  Q. Extent to which variances (disbursement to partners) relate to external factors rather than internal procedural blockages?	2.1 5.4 12.2	
Relationship management ( <i>Includes partnerships</i> )	K. Contextual analysis – shared where possible - informs the shaping of the organisation's engagement (through partner(s))	Standard processes for contextual analysis at programme and activity level  Data on compliance	Q. Intervention designs contain a clear (opening) statement – developed jointly with partners – that positions the work within the operating context?	3.2 5.1 9.2 15.1	
	L. Frequency and nature of resourced reflection points with partners that take account of changes in the institutional setting	Standard joint (with strategic partner) review processes	Q. Evidence of reflection points with (strategic and policy) partner(s) that take note of any significant changes in context?	5.1 7.1 8.1 15.1	
	M. Organisational procedures positively support speed of engagement and implementation with partners		Q. How are common institutional bottlenecks in procedures (for working with partners) identified and lead to action being taken? What works well with some partners / not with others? [ <a href="#">Ref IR leading Q</a> ]	5.1 5.4 15.1	Aligning Q.

Organisational effectiveness: Performance area	Key areas of attention – organisational effectiveness inquiry [source Table A1.3 Inception Report]	Document review [INTENT, Effort, Effect)	Staff interviews – <i>open ended Q</i> [Intent, EFFORT, EFFECT]	Lead Q for Interview#	Staff Survey
	N. Resources/ competencies aligned to comparative advantage within the partnership	Partnership documents – statements on comparative advantage within the partnership.	Q. Is ICIMOD able to marshal its resources and capabilities behind its comparative advantage within its partnerships?	4.1 5.1 6.1 7.1 12.1 14.1 16.2	Aligning Q.
	O. Key business practices coordinated with the needs of other relevant partners (donors, multilateral agencies etc.)	Formal positioning/ visibility of ICIMOD in joint planning exercises	Q. Where has ICIMOD been able to participate in/ contribute to (relevant) joint planning exercises at a national or regional strategic level? Was this a natural/ an easy thing for ICIMOD to do?	[3.2] 4.1 [5.2] 12.2 14.1 16.2	Aligning Q.
Performance management	P. Monitoring systems generate high quality and useful performance data	Performance management dashboards – all critical aspects of organisational performance  Completeness/ reliability of performance data	Q. Extent to which set up and operationalization of the corporate monitoring system is adequately resourced?  Q. Is there an applied system for ensuring data quality?	5.4 6.1 8.1 9.1 14.2	
	Q. Performance data transparently applied in planning and decision making	Reflection of performance data in planning documents including planning adjustments	Q. How does performance data guide and steer work within the programmes (including poorly performing interventions), across the thematic areas of interest?	[3.2] 4.1 [5.2] 7.19.2 14.1 14.2 16.2	
	R. Uptake of lessons learned and best practices from	Current repository of evaluations and their	Q. How does ICIMOD evaluate and learn from its experiences?	6.1 8.1 9.1	Aligning Q.

Organisational effectiveness: Performance area	Key areas of attention – organisational effectiveness inquiry [source Table A1.3 Inception Report]	Document review [INTENT, Effort, Effect)	Staff interviews – <i>open ended Q</i> [Intent, EFFORT, EFFECT]	Lead Q for Interview#	Staff Survey
	evaluation (internal/external) and other reports	recommendations available for use within the organisation  Mechanisms for distilling and disseminating lessons learned internally.		14.2	

**Table A7.2: Meeting number (cross-reference to table above) and questions.**

Mtg		A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
1	Adapt Res RP				x		x			x								x	
2.1	Finance			x			x	x		x									
2.2	HR		X	x			X	X	x										
2.3	ERP		x	x		X	x												
2.4	IT																		
3.1	Chief PA																		
3.2	Chief Scaling	x				x		x		x		x				Y		y	
3.3	Chief Economist																		
4.1	CO Afghanistan		x												X	X		x	
4.2	CO Pakistan																		
5.1	Dir Strat. Coop						y			y		X	X	X	X				
5.2	DG	x	x	x		x		y		y						y		y	
5.3	Snr Exec Asst(s)				X		X		X	x									

Mtg		A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
5.4	Dir Admin / Fin			x		y					x			x			X		
6	Ecosystems Th		x												x		x		x
7	Geospatial	x											x		x				x
8.1	KM & Comms						y	y		X			X						x
8.2	Editors (tbc)																		
9.1	Gender lead				x		X	Y	Y								X		X
9.2	Livelihoods Th				x					x		x							X
9.3	Data analyst tbc																		
10	MENRIS RP																		
11	MKAN RP																		
12.1	River Basin RP	x	x	x		x		y	Y										
12.2	Cyro Coord.							x			x				x	X			
13	Atmosphere RP																		
14.1	Head SPME		x			y				x					x				X
14.2	Impact mon tbc				X												x	x	x
15	Private sector P											x	x	x		x			
16.1	Transbdry RP																		
16.2	Coord REDD+						x			x					x				X
17	Water/Air Th																		

## Organisational Effectiveness: Status Analysis

Within MTAPIV six pillars are identified that relate directly to areas of maintaining/ improving organisational effectiveness:

- Gender transformative change
- Partnership
- Knowledge management and communication
- Private sector engagement
- Strategic planning, monitoring and evaluation
- Finance and administration

The status of these and other aspects of change/ improvement on OE as signaled within MTAPIV documentation as important are considered below. This in the organisational context of ICIMOD's recognition that:

*'We become more effective through our partners' – and '[regional] programme implementation demands an integrated approach of strategic planning, M&E, Communication and Outreach, financing' ... increasing our efforts to create more effective partnerships during MTAPIV*

*'Policy impacts in MTAPIV will require an improved systematic and engagement of policy champions in each of the RMCs, and engaging new actors such as the Ministries of Finance and Planning Commissions in each country'*

*continuing to apply a participatory Theory of Change and Impact Pathways approach to the planning, monitoring and evaluation of RPs and Initiatives*

*a renewed commitment to strengthening matrix management (facilitating multi-disciplinary integration – for delivering impact through RPs; as signalled by; a high-level of interaction within and (strengthening) across departments, ICIMOD being more responsive to the needs and demands of its stakeholders and partner organisations, an enhanced results and impact orientation)*

*continuing KMCs pan-institutional role within the matrix system, working closely with ICIMOD's themes, programmes and initiatives.*

*positioning and raising the profile of ICIMOD within the global organisation landscape for sustainable mountain development and potential investment*

*the centre as a Regional platform for business – and SCU as the focal point for facilitating linkages between the private sector and ICIMOD's programmes and initiatives.*

*a continued push on science quality and use of knowledge*

*attracting professionals from all RMCs and from outside the RMCs in order to have a wide range of skills, competencies and cultures in the organisation*

The table below provides the QQR view on the status (August 2021) of these areas of organisational improvement and support the overall analysis on OE with respect to Strategic Management, Operational Management, Relationship Management and Performance Management. In these tables the following definition for Effort and Effect

is utilized:

- **Effort** within the organisation– assessed as either **Strong/ Steady/ Limited/ Not started**
- **Effect** within the organisation – assessed as either **Significant/ Partial/ Small/ Not yet**

## Strategic Management

Intent	Effort	Effect
Further strengthen/ incentivize the role of Country Focal persons and other staff who have good experience of working with policy makers for creating space for policy engagement at national and sub-national levels.	Small	Small
Institutionalise knowledge exchange and data base management across RPs in order to build a body of work behind policy engagement	Steady	Small
Enhance (our) analytical capacity on gender	Small	Small
Create a Gender Strategic Action Plan that follows established policy to improve institutional accountability regarding gender issues	Small	Small
Continue (our) institutional gender audits as recognised good practice	Strong	Partial
Be more strategic in our engagement and messaging (HKH issues) at global meetings and dialogue	Steady	Partial
Engage our regional partnerships more strongly to bring these messages (HKH issues to global mountain discussions) forward and build global partnerships	Steady	Small
Work closely with the ICIMOD Support Group to develop a business plan for attracting more flexible core funding.	Limited	Small
Target (over MTAPIV - \$141m compared with \$118m 2013-2017) involving an increase in both core funds and in long-term programme funds (which will be the bulk of the Centre's budget)	Strong	Significant
Clearly define the activities to be funded by core funding (note. Office administration and operational costs will continue to be fully covered by the indirect costs which are recovered in the programmes and projects)	Limited	Not yet
Undertake several institutional measures to better position and strengthen the Centres capacity to engage in the private sector – including taking a stance on safeguarding ICIMOD's institutional reputation.	Limited	Small

## Operational Management

Intent	Effort	Effect
Implement a system of full cost recovery	Strong	Significant
Further strengthen ERP – enhancing the business intelligence features, developing an online payment system and integrating some functions which are currently processes manually	Strong	Partial
Carry out systematic mapping and scoping out of the areas of cooperation where the private sector could be engaged with and identify the low hanging fruit for mutually beneficial partnerships.	Limited	Not yet
Support RMCs in developing National Adaptation Plans (NAPs) and encourage that Mountain perspectives are included.	Limited	Small



<b>Intent</b>	<b>Effort</b>	<b>Effect</b>
Support RMCs to absorb, manage and disburse both domestic and international climate financing to enhance the resilience of mountain communities.	Limited	Not yet
Continue to focus on attracting staff from under-represented RMCs such as Afghanistan, Myanmar and female staff from Bangladesh, Bhutan, China and Pakistan.	Steady	Small
Senior management mentoring of potential female leaders to improve the representation of women in senior leadership positions	Not started	Not yet
Update our strategic staffing plans and develop the scientific staffing profile accordingly	Limited	Small
Strengthen the role of women researchers	Limited	Small
(ensure) Proper introduction and explanation of the operational matrix to new staff (so can appreciate its benefits)	Limited	Not yet
Build and improve the Centres research, science and intellectual leadership in developing programmes within our structural matrix.	Limited	Small
Position the Centre to repackage and translate the existing knowledge (in a form) that is understandable and usable for the private sector network to help progress business development opportunities in the mountain areas	Limited	Not yet
Act as a regional hub for best practices of business partnerships and fostering cross linkages and cross learnings among the RMCs, such as organising a regional CEO forum	Not started	Not yet
Include within the Centre performance appraisal system institutional objectives where work related to policy engagement can be seen at par with outcomes like research findings in peer reviewed papers	Limited	Small
Include within the PAS institutional and individual monitoring of the quality and amount of science output, as well as its use.	Steady	Partial

## Relationship Management

<b>Intent</b>	<b>Effort</b>	<b>Effect</b>
Adopt an approach to partnering that includes methods like partnership brokering.	Steady	Small
Increase our engagement with partners in the field	Limited	Small
Introduce 'Partner Adviser' – to help to periodically review each partnership based on their performance (peer to peer basis where partner also has ability to review the partnership in ICIMOD)	Not started	None to date
Further upgrade the PRM system with additional features and modules such as online M&E system, online agreement processing system.	Steady	Partial
Continue to build and improve our due diligence and financial control systems related to partners	Strong	Partial
Increase our interface with international research centres providing an entry point for their work in mountain areas and helping to link their research work to policy and implementation.	Steady	Partial

<b>Intent</b>	<b>Effort</b>	<b>Effect</b>
<b>Intensify collaboration with HKH university professors and students as part of the Himalayan University Consortium</b>	Steady	Partial
<b>Develop partnerships aligning with the priorities of development partners and <i>new</i> financing instruments such as GCF – Private Sector Facility</b>	Limited	Not yet

## Performance Management

<b>Intent</b>	<b>Effort</b>	<b>Effect</b>
<b>Make more efforts to embed [Theory of Change] impact pathways approach in partner M&amp;E systems – including more attention to capacity building in partner M&amp;E systems with impact assessment capacity.</b>	Steady	Small
<b>(At the institutional level) monitor 7 strategic results through KMIs that measure Centre’s relevance and effectiveness.</b>	Steady	Small
<b>Monitor RMC specific intervention strategies to assess degree of responsiveness towards individual RMC needs and priorities.</b>	Limited	Not yet
<b>(In planning evaluation activity – with focus on independent evaluation) apply an evaluability assessment tool to determine whether programme evaluation feasible and likely to provide useful information for decision making</b>	Limited	Not yet
<b>(As a learning organisation) continue institutional level review where challenges, issues and emergent outcomes are discussed, and key learning distilled.</b>	Limited	Small

# Annex 8: A Financial Strategy – points for consideration.

## Points to Note:

- Recognise that ICIMOD has a diverse portfolio of work that will contribute over different timescales (and with different risk profiles) to the creation and use of evidence to meet the strategic impacts (poverty reduction, reduced physical and social vulnerabilities; improved ecosystem services<sup>76</sup>).
- A single funding agency (or country with multiple funding streams) may fund to Core and Programmatically; RMCs (with their increased budget allocation) may wish to fund overheads / core, and other funding agencies may wish to fund higher risk (and high potential returns) innovation.
- At all times the ability to manage the funds will be important. This can include:
  - consideration of the use of single financial / reporting systems rather than bespoke for individual funding agency;
  - coherence of the ICIMOD portfolio and contribution to the achievement of institutional outcomes and impacts.
  - Longevity of funding (short term, long term, level of risk.....)
  - Results based financing 'after the fact' or invoice focused or up-front?
  - Funding available for partners and if so, how? Grant mechanism, contracting for research / service delivery or other modalities?
- When considering the funding structure for ICIMOD in MTAPV the following table may be helpful to consider. This table is for indicative purposes only and will require more strategic thinking and discussion with RMCs and main funding agencies.
- The financing landscape for ICIMOD is changing and whilst there may be opportunities through Climate Finance channels (multi-lateral) a clear analysis of these opportunities and their implications for ICIMOD need to be undertaken. The same applies to any possible access to Philanthropic funding and private sector funding.
- Alternative funding strategies e.g. provision of Technical Assistance services to investment programmes should also form part of any long term (10+ year) adaptive funding strategy that is based on key principles and analysis.
- **Timeframe / length of time for a single funding source.** This is an important area to minimise stop / start funding to ICIMOD initiatives and partners. Long-term funding 3+ years with a focus on 'continuity' rather than stop/go aids appropriate planning, retention of skilled staff and trust with partners. Due to funding cycles of governments / funding agencies this is not always possible so a 'core fund' within ICIMOD that can smooth funding gaps has an additional benefit.

---

<sup>76</sup> MTAPV Annex 1: Results Framework page 154

**Table A8.1: Financing source, focus use and points for consideration.**

Funding Source	Focal use	Strengths	Areas for additional consideration?
<b>RMC</b>	<ol style="list-style-type: none"> <li>1. ICIMOD operational costs?</li> <li>2. HKH-A CtA post Ministerial Declaration Task Force and related activities</li> <li>3. RMC co-finance of implementation beyond simple pilots (can be sub-national as well as national)?</li> </ol>	<p>Strong engagement of RMCs in work of ICIMOD.</p>	<p>RMCs at different stages of development so can there be a form of 'Common But Differentiated Responsibilities (CBDR)' across the 8 RMCs (there is a current formula) and options for 'in-kind' e.g. staff secondment costs?</p>
<p><b>ISG Members</b> (often 'development ODA' but may also be bilateral climate finance, scientific collaboration etc)</p>	<ol style="list-style-type: none"> <li>1. Core</li> <li>2. Programmatic</li> <li>3. Regional specialised 'hub' possibly through 3<sup>rd</sup> party e.g. REEECH / SERVIR?</li> <li>4. Funding for Science</li> <li>5. Disaster Response Fund / draw -down guarantee contract?</li> </ol>	<ul style="list-style-type: none"> <li>• Core funding enables ICIMOD to make decisions and 'smooth' investments in initiatives over time.</li> <li>• Core funding can enable more 'risky / long term' work to be funded (continuity)</li> <li>• Programmatic work can, if focused, support the delivery of evidence in critical areas and may, unless supported from core, also contribute to regional evidence documentation and synthesis.</li> <li>• ICIMOD has shown in the past (Uttarakhand 2014 / Nepal 2015 and Chamoli 2021) that it can provide important support through use of geospatial and other data. Disaster Response is often required quickly – a dedicated fund / draw down guarantee contract could increase ICIMOD's rapid response to disasters in support of RMCs own leadership.</li> </ul>	<ul style="list-style-type: none"> <li>• Programmatic funding needs to be focused more clearly on the contribution to MTAP results frameworks.</li> <li>• Need to ensure wide-spread 'buy-in' on new initiatives.</li> <li>• Core funding of work requires strong oversight of the initiative results framework to ensure both realistic and challenging (beyond simple 'counting').</li> </ul>

Funding Source	Focal use	Strengths	Areas for additional consideration?
<b>Scientific Funding sources</b> including links with academic and knowledge networks	1. May be highly specific and support targeted research with international academic networks (may enable them to access HKH) 2. Likely to be initiative focused either 'stand-alone' or as part of co-financing.	<ul style="list-style-type: none"> <li>Can build ICIMOD's technical knowledge on 'cutting edge' technology;</li> <li>Increase visibility of certain important areas e.g. monitoring of biophysical processes</li> </ul>	<ul style="list-style-type: none"> <li>Care required on size of funding / administrative efforts for proposal, finance, reporting;</li> <li>Does the work fit into the ICIMOD long term strategy now (or can case be made for this – important for innovative work as opportunities arise over the implementation of an MTAP)</li> </ul>
<b>Multi-lateral Climate Finance (Adaptation Fund / Green Climate Fund)</b>	1. Programmatic Funding against specific proposals and highly competitive.	<ul style="list-style-type: none"> <li>Potentially large sources of finance but would they fit with the regional /transboundary focus of ICIMOD?</li> <li>Are there opportunities to 'partner' with other accredited agencies e.g. UNDP / FAO to provide high quality monitoring and Technical Assistance e.g. geospatial work?</li> </ul>	<ul style="list-style-type: none"> <li>ICIMOD accredited regional agency for Adaptation Fund but this does not enable it to act for other funds.</li> <li>Clarity required on conditions of funds (proposals, approval, disbursement, reporting, procurement.....)</li> </ul>
<b>Overhead recovery / staff time salary coverage from Technical Assistance work?</b>	Short term / programmatic inputs into RMC led / UN or IFAD area programmes to provide services based on ICIMOD's possibly unique knowledge base in key technical areas.	<ul style="list-style-type: none"> <li>Could enable staff to broaden the practical application of their skills / models?</li> <li>Highlight to RMCs and others the utility of the science / technical skills &amp; evidence</li> </ul>	This work will not appeal to all staff who may see it as reducing their ability to undertake 'front-line' research and write papers.
<b>Philanthropic</b>	? Ideally to core but likely to be programmatic tied to the individual fund objectives. Can be short term and sporadic (tied in some cases to the scale of the fund in any American tax year).		Care and attention to conditions including timeframe, budgeting, reporting .....
<b>Multi-lateral Finance Institutions</b>	Use of ICIMOD as a grant-making body to civil society on a specific topic.	Can provide overhead recovery to ICIMOD but care on the time / energy necessary to manage this type of funding.	This would not be 'core-business' for ICIMOD unless this was tied to some wider institutional funding on the same topic so that the multiplicity of outputs (from ICIMOD research and grants to

Funding Source	Focal use	Strengths	Areas for additional consideration?
			partners) could be synthesised into a whole.
<b>Partners - co-finance (in kind / cash)</b>	Programmatic research / pilot scale up. This funding may come from sources not available to ICIMOD and supplement funding from ISG / Core.	Builds a strong relationship with implementers and those who can advocate for wider scale up beyond the pilot+ level.	That the monitoring / reporting / financial management is transparent and that the results and contribution are clear and contribute to ICIMOD learning. Money may not flow to / through ICIMOD but could increase the scale of the operational work e.g. number of sites or dissemination strategy and policy related work.
<b>Private Sector directly or through Corporate Social Responsibility Funding</b>	This could be for Core or programmatic funding depending on the funding source.	Could be a new source of funding for ICIMOD.	Require a clear set of principles against which decisions are taken e.g. requests for data confidentiality for commercial purposes and how this would be addressed transparently.

# Annex 9. ICIMOD Gender Audit 2021 - Recommendations

## Policy Level

The Gender and Equity Policy has a strong focus on gender equality and addresses social inclusion, thus providing the basis for more concrete direction for programmes to ensure the intersections of gender, social identity, disability, age, location and income dimensions are more directly addressed. This is the first priority for senior management in ICIMOD and as part of the next QQR, which will start in March 2021

- The development of concrete guidance on Gender Equality and Social Inclusion should specifically consider the systemic structural barriers, discriminatory practices, and conservative gender and social norms which currently constrain inclusion and development of women and excluded groups.
- ICIMOD's main relevant policies (Partnership Strategy, MEL Framework and Risk Management Strategy) should be reviewed to cover both gender equality and social inclusion and ensure intersectional inequalities are addressed, through for example follow up with partners where gender and social inclusion are not strong.
- Policy directives to more clearly position mountain ethnic communities as key actors will need to be developed. A better understanding of the gender dynamics of the ethnic communities should inform policy decisions and programme directives.

## Programme Level

The work on GAPs should be made part of the regular planning, budgeting, and reporting processes. The progress that has been made across the programmes should be consolidated to ensure that ongoing efforts are more systematic and consistent. This will help ensure that programmes make budget resources available to implement and in turn ensure that expenditure and progress on outcomes and outputs that are focused on gender equality and social inclusion can be tracked. This should be a priority for senior management in ICIMOD and there is an opportunity for this change to be part of the next planning cycle.

- Gender Equality and Social Inclusion Action Plans need to more effectively included in the annual workplans of each RP and Initiative, with gender and social inclusion more clearly represented at the output levels, as well as in actions. This is aimed at ensuring both the more effective mainstreaming of GESI and the allocation of appropriate resources for implementation.
- A target proportion (at least as a minimum amount) of the programme budgets for Gender Equality and Social Inclusion should be set for each RPs, based on the inclusion of gender and social inclusion issues in outcomes, outputs and actions to ensure that there are sufficient resources for implementation.
- In the next MTAP the outcomes and indicators for the RPs should be revised, based on the experience of the current MTAP-IV, to ensure that GESI issues are mainstreamed. Related MEL tools need to be developed to ensure the collection of disaggregated information, that evidence is well captured, and that evidence is used for decision making.
- There is a need to ensure that programmatic interventions in each RP and the initiatives address both livelihood and voice empowerment of women, the excluded and the vulnerable and have measures to reduce discriminatory formal and informal

policies and practices. The opportunity to address social aspects in very technical and scientific fields are necessary to identify and address innovatively.

### **Institutional Level**

Continue with and consolidate the efforts that have been made within ICIMOD, in key areas such as: ensuring greater balance at senior management and programme management and other decision-making levels; ensuring that responsibilities for gender equality and social inclusion are reflected in performance management; and, ensuring that the importance of these responsibilities are clearly communicated across the organisation. This will be part of the ongoing responsibilities of the HR team, working with the Gender Team.

- The capacity of all staff needs to continue to strengthen to ensure a full understanding of gender equality and social inclusion concepts, as well as issues of intersectionality - where different forms of discrimination intersect. Programme Coordinators for Initiatives and technical staff supporting Initiatives should be provided with the training and tools (for example, guidelines, tip-sheets, analytical instruments) to support them to mainstream GESI in their usual functions.
- The additional responsibility for GESI should be reflected more systematically in the terms of reference of Programme Coordinators and technical staff, as well as in their performance management criteria. With gender equality and social inclusion more fully reflected in the outcomes and indicators, the RPM will become the responsible person on GESI for each RP, while the PCs will become the responsible person for each Initiative. They will ensure that a specific focus is maintained on gender and inclusion issues and, as such, it is important that this is clearly communicated to all staff in the organization.
- The terms of reference of other staff should reflect GESI responsibilities within their core functions. HR recruitment practices should be reviewed to support higher gender and ethnic diversity amongst staff and provide sufficient opportunities for young professionals, especially women to join ICIMOD on terms beneficial for them. Efforts to include persons with disability and LGBTI+ community in the staffing need to be made.
- The Sexual Harassment Policy provisions and the mechanisms for reporting and follow up should be disseminated across the organization, including to research and field expedition teams. It will be important to strengthen the confidence of all staff, both women and men, to use the policy provisions and complain in case of any incidence. The confidentiality and fairness of any enquiry, including investigation of any false allegations should be ensured.

### **Partner Level**

Continue with and consolidate the efforts that have been made with partners, through building shared commitments and capacity on gender and social inclusion with key long-term partners, both strategic and implementation and knowledge partners. This is the responsibility of Strategic Cooperation and should be considered as part of the QQR.

- Engagement with strategic partners, policy decisions makers, their sensitization and process-oriented engagement should be planned by the RPs. This can be informed by the example of a phased-out project HIMALICA (which was under the Resilient Mountain Systems initiative) of a long-term engagement with government representatives of the Ministry of Agriculture, Bhutan. Regular interactions and engagement with the policy makers in the steering committee resulted in the members becoming gender allies and champions. This kind of approach needs to be adopted extensively since the policymakers influence all planning processes and decisions.



- Women led implementing partner organizations should be promoted where possible and specific efforts should be made to partner with organisations with responsibility and experience of working on gender equality and social inclusion regionally, to build better linkages and networks for effective action.
- The positive efforts with partners on GESI mainstreaming need to continue and where possible, deepened. The activities of the initiative partners must also ensure that both empowerment and changing of discriminatory practices are integrated in the projects. Institutional capacity of partners needs to be strengthened through systems strengthening and through enhanced staff skills and competencies on addressing barriers of the excluded and the vulnerable.

FEMANA

# Annex 10: ICIMOD Partnership Analysis

For the QQR teams' work on partnerships, we are clearly differentiating ICIMOD's relationship with the 8 RMCs from the partnerships it has with other organisations. We consider that this differentiation recognises ICIMOD's status as an inter-governmental organisation which is 'at the service of the states belonging to the Hindu Kush Himalayan area'.<sup>77</sup> ICIMOD in order to provide this service works with an extended and diversified network of local, national, regional, and international partner organisations that operate at different scales i.e., micro, meso and macro.<sup>78</sup> These partnerships range from institutional arrangements and cooperative agreements with large global organisations, national level scientific and research organisations to partnerships and contractual arrangements civil society organisations, small sub-national community-based organisations and the private sector. ICIMOD sees partnerships as crucial to fulfilling its mandate and to: (i) enhance technical outreach, (ii) improve science quality, (iii) enhance impact, and (iv) build a regional constituency for mountain development across the HKH.<sup>79</sup>

The QQR partnership analysis is organized into two sections. **The first is an analysis of ICIMOD and its relationship with its partners and the second is a discussion on ICIMOD and its relationship with the RMCs.**

## Methodology and limitations

The QQR assessed ICIMOD's partnership and relationship management from the perspective of organizational effectiveness, results and impact and sought partner feedback in key areas. Evidence for the partner review was drawn from a review of key documents, responses from staff and partner surveys and from key informant interviews with staff and partners.

For the partner survey, the team referred to ICIMOD's consolidated<sup>80</sup> partners list for MTAPIV which lists a total of 144 partnerships<sup>81</sup>. Our analysis of the partner list indicated that a number of partners have one or more institutional and funding arrangements with ICIMOD through their engagement in different regional programs and initiatives and therefore sifting them was necessary to avoid duplication. Therefore, from an initial list of 144, we identified 119 unique partners. Out of 119 partners, the partner survey was sent out to 103 partners – note that this number did not include government partners as their relationship is qualitatively different from ICIMOD's relationship with national, regional and global partners. The survey received a response rate of 52 out of 103 sent (50%). The staff survey was sent out to 202 staff and received a response rate of 159 (79%).

The pdf of the partner and staff survey questions can be found in Annex 1. Key informant interviews were conducted with several ICIMOD staff and partners (see list of interviewees in

---

<sup>77</sup> Article 3. ICIMOD Statute

<sup>78</sup> Micro – CBO at grass-roots level to district / panchayat; Meso – national and sub-national at State / Province; Macro – regional / global

<sup>79</sup> ICIMOD. Partnership Strategy 2013

<sup>80</sup> The QQR team referred to two partner lists: the first is the ICIMOD Partners List 2020 which lists the partners by regional member countries and non-regional member countries and has information on the typology of the partnership and key contact information. The second is the ICIMOD Consolidated Partnerships List and Contact Details which lists all partners under MTAIV and has information on agreement type, agreement period, contract amount, regional program, country, focal person and contact information. However, this list did not have information on the typology of partners. Therefore using the consolidated list as the base document, we added information on the typology of partners from the first list.

<sup>81</sup> ICIMOD 2020 Consolidated Partners List and Contact Details

Annex 1). A total of 20 partners were selected for KII's to ensure representation and diversity in terms of country, type of partner, grant funding, duration of the partnership and representation by thematic/regional program. The team received a very low response rate to requests for KIIs despite repeated emails and requests for interviews. The team was able to interview 9 partners in total (See Annex 1). While the reasons for the low response rate are not clear, it is possible that the sudden surge in Covid-19 cases in the region during the review period as well as the fact that it coincided with the end of the financial year for a number of partners may have impacted the ability of partners to respond to interview requests.

## Findings

### ICIMOD AND PARTNERS

#### Growth and diversity in partners and partnerships

In the last decade, ICIMOD's partnership base has grown considerably, mirroring the growth in the organisation, its fundings as well as its regional programs, themes and initiatives. At any given time, ICIMOD works with over 100 + partners that vary in size, type, geography and thematic area of operation. For example, in 2020 alone, ICIMOD signed 70 new cooperative agreements, 4 new strategic and policy partnerships, 6 partnership agreements, 15 implementation partnerships and 34 institutional collaborations.<sup>82</sup>

Under MTAPIV, ICIMOD's consolidated list of partners shows a total of 119 unique partners and 144 partnership arrangements with a mix of strategic and policy, knowledge, research and implementation partners that are spread out across the RMCs (see Figure A10.1).<sup>83</sup> ICIMOD has developed a typology of partners to categorise the nature of its partnership relations with different partners (see Box A10.1) and in addition, it uses different types of institutional arrangements with partners across its regional programs and initiatives (see Table A10.1).

A review of regional programme as well as country level partnership reports indicate an intricate web of strategic and implementation partners that are engaged across different initiatives and programs. The growth in partnerships is a reflection not only of the importance and relevance of partnerships to the achievement of ICIMOD's goals and objectives. The growth may also reflect ICIMOD's recognition within the region and more broadly as a trusted and credible partner (as shown by the partner survey responses) in a complex geography, with the technical knowledge and capacity, convening ability, access to resources, networks and regional/global platforms and demonstrated ability and capacity to engage stakeholders on complex transboundary and regional issues.

#### Robust partnership management systems but growing administrative load

As an institution, ICIMOD has invested significant human and financial resources in building its partnerships and partnering capabilities. This is reflected in the setting up of the Strategic Cooperation Unit (SCU), systematisation of partnership types and instruments through a

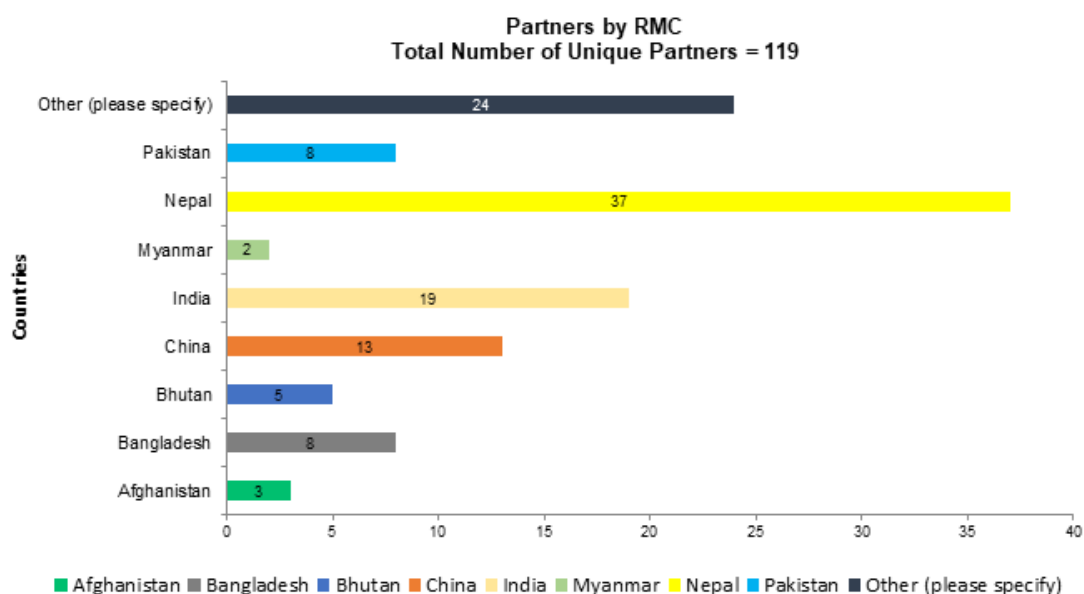
#### Box A10.1: Typology of ICIMOD partners

- Strategic and policy partners
- Implementation partners
- Operational partners
- Research partners
- Development partners
- Knowledge partners and networks.

<sup>82</sup> ICIMOD. Annual Progress Report Highlights 2020

<sup>83</sup> While the total number of partners mentioned is 144 – there are some partners with whom ICIMOD has had multiple funding arrangements and agreement types – often across different regional programs and initiatives. Therefore, when these are accounted for, the total number of unique partners under MTAPIV is 119.

**Figure A10.1: ICIMOD partners by RMC under MTAPIV**



**Table A10.1: ICIMOD partnerships under MTAPIV by Initiative/RP and arrangement type<sup>84</sup>**

UNITS	Framework of cooperation (FoC)	Letter of Agreement (LOA)	Letter of Intent	Letter of Intent	Memorandum of Understandign (MoU)	Total
Adaptation and Resilience Building		10	3		1	14
Adaptation to Change				1		1
Atmosphere		4	3	3	1	11
MENRIS		2	4	3	2	11
MKAN		33	2		1	36
Nepal			2			2
Non-RP/Others	1		4	4	19	28
River Basins and Cryosphere		12	5	1	1	19
Transboundary Landscapes		19	2		1	22
<b>Grand Total</b>	<b>1</b>	<b>80</b>	<b>25</b>	<b>12</b>	<b>26</b>	<b>144</b>

<sup>84</sup> ICIMOD 2020 Consolidated Partners List and Contact Details as supplied by ICIMOD

Partnership Strategy (2013)<sup>85</sup> and Partnership Manual (2017)<sup>86</sup>, creation of a web-based partnership management system as well as institutionalisation of partnership brokering approaches and principles.

The investment in staff and processes to support ICIMOD's growing number of partnerships is appropriate, mirroring the exponential growth in the size and funding of ICIMOD's programs and initiatives. The SCU plays an important role in anchoring the partnership function within ICIMOD and provides key services to the organisation and partners. However, as ICIMOD's partnerships have grown and diversified, an increased amount of time and effort is being spent on partnership management. In several interviews, staff indicated the partnership process is labour and time intensive as are the administrative and due diligence expectations and requirements from partners – even for relatively small amounts of funding.<sup>87</sup> This was echoed by the staff survey where in response to a question on the organisational procedures for partners, over 50 per cent of respondents felt that the processes caused delays in implementation for partners.<sup>88</sup>

The workflow and approval process for different types of agreements and institutional arrangements could be simplified as could the typology of partners which is often blurred with some partners being categorised under one or more typology depending on the nature and type of the partnership. It is important to caveat that this focus on partnership systems and processes, is in no small part a response to a tightening of donor compliance requirements around duty of care, finance, due diligence, do no harm etc. However, going into MTAPV, there is a need to revisit existing processes to simplify and streamline them for staff and partners. There is also perhaps need for ICIMOD to acknowledge and come to grips with the fact that while it does not see itself as a conventional grant making organisation, it increasingly works with its partners in this modality and must consider what the implications of this are in terms of systems, processes but also resourcing and capacity of staff, and importantly the expectations of partners.

### Strong recognition of ICIMOD's value add amongst partners in key areas

ICIMOD has established a reputation in the region as a credible, valued, trusted and neutral convenor on issues related to sustainable mountain development in the HKH region. Through the partner survey and discussions, it is clear that ICIMOD is seen as an inter-governmental organisation in the region that continues to thrive and work effectively on complex transboundary and regional public goods issues. Key informant interviews, including with those who want ICIMOD as a partner, highlight the neutrality of ICIMOD as an important attribute.

---

<sup>85</sup> The 2013 Partnerships Strategy defines ICIMOD's institutional approach to partnerships including key principles and approaches. The Strategy describes a typology of partners and partnership instruments and arrangements to formalize ICIMOD's institutional relationships.

<sup>86</sup> The 2017 Partnership Manual clusters partners into four broad types of partnerships that ICIMOD engages in: (1) strategic and policy partners, (2) implementation and operational partners, (3) network and knowledge partners, and (4) development partners.

<sup>87</sup> See responses to Staff Survey Qs. 25-26 in Annex 15

<sup>88</sup> See response to Staff Survey Qs. 54 in Annex 15

Partner survey responses across the board are generally positive across key partnership areas including ICIMOD's understanding of local country contexts, partner capacity; willingness and ability to work with partners on co-developing activities and initiative; and developing interventions that are fit for purpose in a local/country context).<sup>89</sup> In addition, ICIMOD's administrative, financial and monitoring and evaluation systems in support of partners are generally perceived as robust. However, certain areas were highlighted for improvement including easing/simplifying compliance with budgetary and financial systems, sharing of key information related to budgeting, management etc as well as the need for flexibility in planning and programming with partners.<sup>90</sup> Overall, ICIMOD scores well across the board with partners receiving a medium – high rating across key partnership and relationship management areas.<sup>91</sup>

*“ICIMOD's multilateral role and regional presence enable work across a wide-ranging set of issues. ICIMOD's capacities in co-ordination are immensely useful in project management. Its recognition as a policy-level institution also enables access for smaller organisations to the policy corridors of many different countries. ICIMOD, is therefore, a crucial catalyst in enabling a variety of partnerships that otherwise seem impossible to forge.”*

Partner survey response to an open-ended question on ICIMOD's value add as a partner.

In response to a series of open-ended questions, partners appreciated ICIMOD's value add in key areas including: (i) access to high quality knowledge, information and research; (ii) access and exposure to regional and international networks and platforms; (iii) capacity development and training in terms of research and technical skills and (iv) fostering research and technical cooperation/collaborations. Key suggestions made by partners on where ICIMOD could be a more effective as a partner include: (i) the need to develop a better understanding of the local context and partner limitations; (ii) greater engagement and communication with partners at planning, design and implementation stage; (ii) more opportunities for joint programming with partners including more resources for implementation; (iii) greater flexibility to partners in budgetary allocation for program activities and timelines; (iv) better communication on financial and technical reporting and (v) greater acknowledgement of partners and their contributions by ICIMOD.

### Mixed evidence on the role of partnerships in achieving results and impact

Partnership and relationship management is recognised institutionally as an important strategic area for ICIMOD. As discussed above, this is reflected both in terms of policies, staffing but also the institutionalisation of partnership processes throughout the organisation. However, in terms of results and impact, it is less clear how existing partnerships contribute to ICIMOD's own results and provide a contribution to the partners organisational and programmatic results. It is not clear how partnerships are leveraged to work on scale-up, policy change and whether budgets are available from ICIMOD to support this work over time (often beyond the lifetime of the original initiative).

ICIMOD's regional program, thematic and initiative portfolio is diverse and within this there are strong examples of where ICIMOD has worked effectively in creating multi-stakeholder partnerships (SWaRMA); transboundary dialogue forums and platforms (UIBN, KBI), worked with the private sector (Brick kiln initiative); created regional research and knowledge networks (SANDEE and HUC) and engaged with local governments, communities and partners on the ground on transboundary issues (CBFEWs). However, given the strong asset that ICIMOD has in its partnerships, there is a lack of clarity and specificity about how the sum of ICIMOD's partners in terms of specific programs and initiatives – add up to the whole and in so doing contribute to ICIMOD's strategic results chain at a strategic and institutional level. While

<sup>89</sup> Annex 11 partner survey responses to Q. 11.

<sup>90</sup> Annex 11 partner survey responses to Q. 12

<sup>91</sup> Annex 11 partner survey responses to Q. 13

ICIMOD's Partnership Manual<sup>92</sup> does articulate a partnership results chain, it is very linear and siloes partners by typology into specific aspects of the results chain that does not necessarily reflect the complexity of how partnerships work within ICIMOD's own programs and initiatives. For example, the partnership results chain, maps strategic and policy partners at output and outcome level, however there is a key role of these partners at initiative design and activity level as well. The same holds true for the role of other partners – science and research and operational partners within the partnership results chain.

A key question for MTAPV, is for ICIMOD to consider how it can make its network of partners an organisational asset that can be leveraged to expand its influence and impact of its work across the region. This will be critical in the context of the HKH Call to Action and ICIMOD's role as a Secretariat as these partners may be important stakeholders in a number of related processes e.g. the Science-Policy Forum. ICIMOD has all the tools and systems it needs to support its partner engagement but needs to invest in specific analysis – at a strategic, results and impact level – as well as consider appropriate resourcing – not just for ICIMOD but equally for partners. This approach could help to define a limited group of partners that are considered 'essential' to the delivery of the MTAPV (and Strategy). Then there would be a wider set of partners who have a more 'contractual' relationship with ICIMOD for the delivery of specified pieces of work.

Going into the strategic and planning process for MTAPV, the QQR recommends that ICIMOD conduct a comprehensive, independent, partnership audit and review which evaluates existing partnerships and relationships at institutional, regional program, theme and initiative level. This audit could consider how these may be leveraged more effectively to support the delivery of ICIMOD's results chain going forward (See **MTAPIV Recommendation No. 2**). Building a clear set of long-term and focused partnerships would enable a coherent approach to partners that in turn could enable greater attention to leveraging influence at a more strategic level. This may also enable ICIMOD to calibrate its partnership processes and systems more effectively with its partners and the needed staff and partner time required to meet compliance and other requirements.

## ICIMOD AND RMCs

### Strategic engagement with RMCs needs strengthening

ICIMOD's strategic engagement particularly with the RMCs emerged in several interviews (including staff, partners, ISG and others) as an area which needs greater focus and attention. There is a view that ICIMOD is becoming "ICIMOD centric" in the way it which it operates and how it designs, implements and funds activities and initiatives. This has led to a **perception** that ICIMOD has become "donor driven", that its footprint on the ground in the RMCs is limited beyond a few pilot initiatives and that there is a lack of sustained and strategic level engagement with key government and policy partners in the RMCs at the design and inception stage. This is compounded by the limited funding to support in-country partner led efforts working with RMCs and other agencies – especially to support scale up and outreach beyond the project/program lifecycle.

The question of 'ICIMOD's footprint' within the RMCs is a recurring one and reflects growing questions around the added value that ICIMOD does and potentially could bring to RMCs. ICIMOD's reputation as a knowledge hub and centre of excellence in the region on issues related to mountain development is well acknowledged but its link, reach and accessibility beyond the RMC focal ministry to other RMC stakeholders – state and local governments – in

---

<sup>92</sup> ICIMOD. 2017. Partnership Manual. Fig. 3, p.6

particular is less strong. ICIMOD's engagement with the RMCs with a diversity of partners within and across the HKH region will be critical to the Call to Action. As an inter-governmental organisation, ICIMOD must consider how it can deepen its engagement with RMC governments and with other key policy partners. The HKH Ministerial declaration in 2020 is a strong example of ICIMOD's ability to convene key RMC partners around a common agenda – this ability and capacity needs to be strengthened and taken forward under MTAPV.

Going into MTAPV, ICIMOD needs to consider what value add, services and assistance it can reasonably provide to RMCs for national priorities as well as those that are regionally 'of common concern'? The Call to Action articulates not only priority action areas for the HKH region as a whole but also outlines key priorities by RMC. In the context of the Call to Action and ICIMOD's role as a Secretariat, where can ICIMOD add the most value? Is it as a knowledge hub and resource – providing policy relevant evidence, advice and input to governments in the region on key issues; providing access to new technologies e.g. geospatial and monitoring of key climate / biodiversity and social-economic variables in the HKH; building technical capacity (especially where there is demand from the RMCs) etc.? Whatever conclusions ICIMOD arrives at, this will require a greater investment of time and effort in engaging with RMCs on a more regular and sustained basis. It will also require consideration of the extent to which ICIMOD continues to invest in pilots especially as it emerged in interviews that from an RMC perspective – the pathways to influence and uptake are not always clear – nor are resources always available for partners to take forward the lessons from research (reflected in partner survey responses as well).

## Conclusion and Recommendations

To conclude, it is evident that over the last decade, ICIMOD's partnership base has grown to over 100 + partners (with some partners that may have multiple types of engagements with ICIMOD) that span the RMCs and globally and include a broad and diverse spectrum of partners. In particular, ICIMOD has been successful in not only in engaging with a wide range of partners but also working towards fostering multi-stakeholder partnerships in often very challenging country and regional contexts (SWaRMA, UIBN, KSLI). There are many lessons to be learnt from ICIMOD's work in this area which will be critical as it embarks on efforts to galvanize action within the HKH region and RMCs on the Call to Action.

Organisationally, ICIMOD has made significant investments in strengthening its partnership ability – in terms of policies, tools, approaches, and resourcing. This has enabled ICIMOD to keep pace with its organisational and programmatic growth and ensure that processes and systems remain robust. ICIMOD has also taken its partnering approach one step further and institutionalised partnership brokering as an intrinsic aspect of its relationship with all its partners. This has in no small part helped ICIMOD build trust and strengthen relationships with its partners and equally build its own reputation as a trusted and reliable partner. However, the consequences of an expanded number of partners and partnerships has been an increase in administrative and financial compliance requirements from staff and partners.

Partnerships add value to ICIMOD – enabling ICIMOD to expand the scope of its work, increase its footprint not just on key issues but also in key geographies across the RMCs, to build networks and connections with organisations operating at different levels. From an administrative point of view working with partners can help ICIMOD and staff to keep administrative and other overhead costs in check. Across each of the regional programs, partnerships at different scales and levels play an important role in furthering the aims and objectives of the initiatives and programs. However, the nature and strategic focus of the partnerships is often not very clearly defined, nor is the contribution of partners to the results chain, nor in formal publications that emerge from the joint work. Discussions with in-country



partners also indicate that partner engagement is often very process focused, the engagement is often start-stop and short-term due to uncertainty around funding streams. There are also questions around the balance between ICIMOD and its partners in terms of the investment of resources and the need to channel more resources to partners while being more flexible with partners. To what extent may ICIMOD be able to keep aside some flexible funds to support partners in key areas and invest in their ideas and programs that align with its broader mandate is an open question for MTAPV. Could this be in the form of co-finance to enable partner access to funding streams e.g. as NGOs that are not available to ICIMOD but would be valuable for work in key areas e.g. resilience, CBFWS and livelihood development?

As ICIMOD begins the preparation of the MTAPV the QQR would, based on the evidence obtained recommend the following:

1. **Understanding, and building the relationship and hence ownership of RMCs.** The relationship of ICIMOD with the RMCs is 'beyond partnership' as ICIMOD is an intergovernmental organisation whose members are the RMCs. Therefore, when considering partnerships there are two elements that need to be considered:

- **Firstly, is the quality and extent of the relationship with individual RMCs:** including issues of the 'footprint' in each country and the systems of engagement e.g. the new CHICIMOD committee. The country presence in some RMCs has served as an important anchor point for in-country relationships particularly with government and policy level stakeholders. In this context, the potential role and resourcing to enable an in-country presence/engagement needs to be considered in MTAPV.
- **Secondly, approaches to linking RMC agencies with key ICIMOD partners:** ICIMOD must also consider how it can more effectively work with key strategic and policy partners within the RMCs in a more sustained manner. If the RMCs are actively involved in the setting of the 'research questions for MTAPV' how key partners are brought into this process will need to be further examined. The Call to Action can serve as a key starting point for this exercise as can the government and regional response to Covid-19. These key partners, along with the RMCs would also be involved in annual progress monitoring of the work on the agreed Strategic Research Questions. This could include ongoing discussion of relevance, wider evidence and emerging issues that are becoming priorities. This can be linked perhaps to the work of the Call to Action Science-Policy Forums to ensure their relevance to RMCs. These joint processes will enable early learning to be shared with key decision makers, opportunities to be identified and evidence generated to be used in planning processes at sub-national, national levels. Evidence could also be used for global reporting processes e.g. for NDC preparation, SDG Voluntary National Reports etc.

2. **Partnership Audit (see MTAPV Recommendation No. 2):**

- With respect to broader diverse implementation and program partners, it is suggested that ICIMOD conduct a comprehensive independent partnership audit and review which would evaluate existing partnerships and relationships and how these can be more effectively leveraged.
- As a part of the audit an review process, ICIMOD should consider simplifying the typology of partnerships, calibrating partnership brokering approaches based on the size and nature of the partnership and consider simplifying some of the administrative and financial systems and processes for staff and partners; consolidate and reduce the number of partners and where necessary contracting services from partners rather than entering into institutional arrangements especially for small funding amounts.
- Included in the audit should be a detailed review of ICIMOD's partnership strategy (who, where, why, how and what). This could create a better understanding of how

ICIMOD partners with the RMC agencies – especially around work to scale up innovation, build capacity and undertake long term monitoring. This would allow a focused and strategic set of partners and partnerships to be identified and a clear process if additional partners (who will require funding/capacity support) to be identified. The partnership focus should be beyond the lens of an individual regional program, theme or initiative and focus at the broader institutional and strategic level influence and impact pathway contribution.

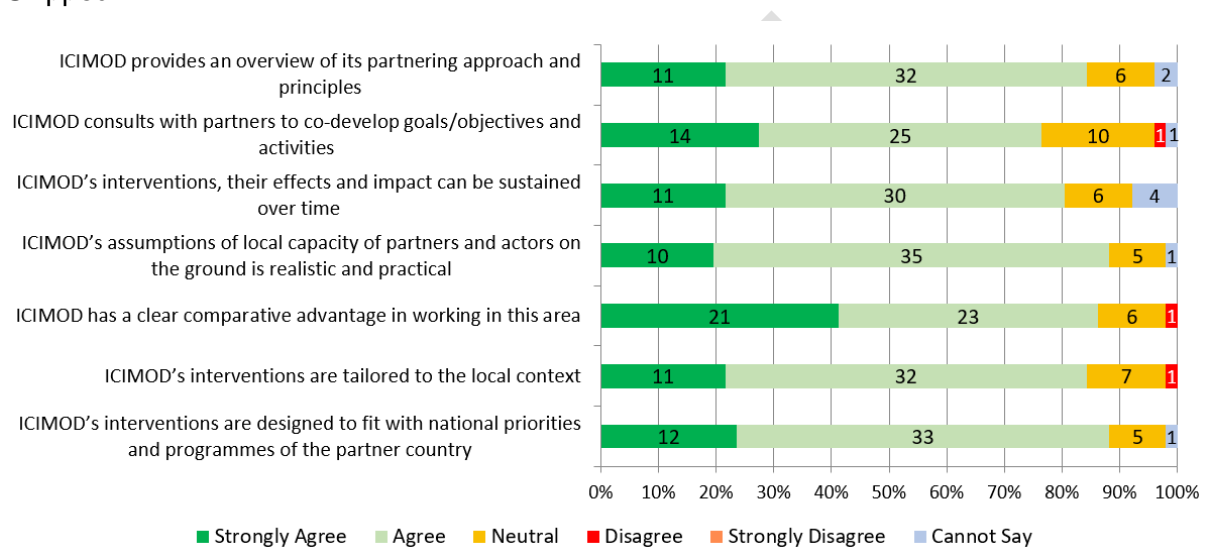
3. **Private Sector Engagement:** In terms of other types of partnerships - the private sector is an area where ICIMOD has over MTAPIV stepped up its engagement and there are interesting lessons to be learned from its engagement with the private sector in the brick kiln initiative for example. However, given changes in the donor funding environment, this area requires a greater investment in terms of time, effort and staff capacity to realise its potential.
4. **Building networks of researchers:** Finally, ICIMOD has a tremendous resource and network that it has sustained at relatively low investment through SANDEE and HUC. Both programs are strong examples of where through small amounts of sustained funding over a period of time, ICIMOD has been able to achieve high visibility, value and return. Going forward, ICIMOD must consider which aspects of its partnership portfolio could be similarly sustained and leveraged in the long term.

# Annex 11: Partner Survey Select Responses

**Q11. Partnerships are intrinsic to the realisation of ICIMOD’s goals and objectives and its programmes. ICIMOD works with and through a range of partners across the eight regional member countries (RMCs).**

Answered: 51

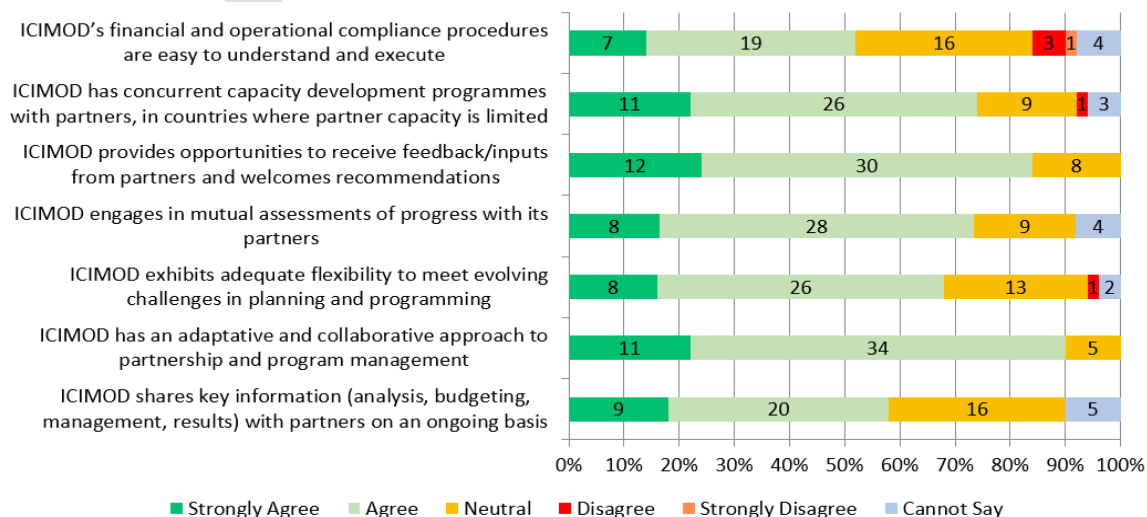
Skipped: 1



**Q12. Below are some statements about the extent to which ICIMOD harmonises its work with that of its partners and in doing so promotes national ownership. To what extent do you agree/disagree with the following statements?**

Answered: 50

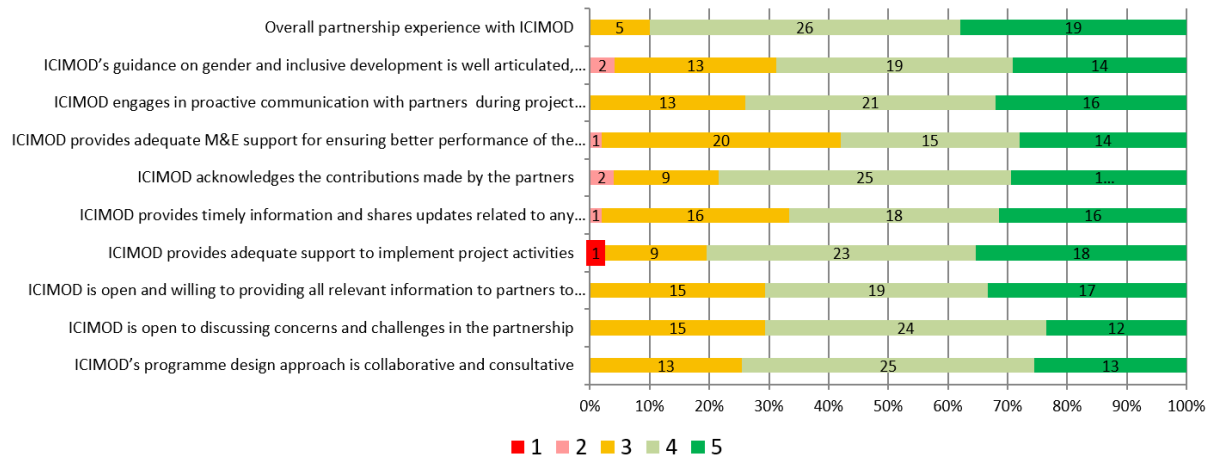
Skipped: 2



**13. How would you rate the performance of ICIMOD in the following partnership areas?  
Please rate on a scale of 1 (low) to 5 (high)**

Answered: 51

Skipped: 1



# Annex 12: QQR5 2016

## Recommendations: Current Status

Below in the Table is the QQR6 team assessment of the status of QQR5 recommendations. It is worth noting that in the QQR5 the team were tasked with assessing the following up of the responses to the recommendations of the *Mid Term Review of the ICIMOD Strategic Framework 2007 and Medium-Term Action Plan 2008 – 2012*. **Their response was presented in Annex 7 of their report. In summary they stated that ‘Most of the MTR recommendations have been largely addressed, although strategic issues related to RMC relationships and communications, the direction of ICIMOD’s future growth and maintenance of core funding remain issues of concern.’**

Furthermore, QQR5 also presented (section 8.2) a series of implications for MTAPIV planning which the QQR6 team have commented on below.

**Table 12.1: QQR6 comments on issues raised by QQR5**

QQR5 issues raised for MTAPIV	QQR6 Team Comments
(1) Provide more clarity on the primary research questions of national and regional RMC concern;	This remains an issue – for MTAPV the co-design of Strategic Research Questions with RMCs is vital to put in place.
(2) Improve understanding of RMC needs and gaps where ICIMOD can strategically contribute;	The HKH-CtA does lay out priorities from the countries at national, regional, and global level. Using this to focus on Strategic Research Questions is important whilst enabling some flexibility for ‘horizon scanning’.
(3) Provide for more rigorous selection, preparation, and backstopping of implementing partners;	Partnerships remains a challenge for ICIMOD with a now complex administrative process.
(4) Develop more precise definition of RP baselines and time-bound outcomes and sub-outcomes;	Whilst work has progressed on this there is a need to be clearer on what a Baseline is, how it is put in place (context vs intervention), how and when followed up and appropriate budgets in place.
(5) Elaborate the RP cross-initiative implementation strategies that will lead to larger scale results;	A critical area – ICIMOD needs to facilitate more open learning and better understand the diversity of routes to achieving large scale results which is often outside its direct influence.
(6) Design research to help reduce scientific uncertainties affecting development issues and to contribute to evidence-based policy dialogue;	This is closely linked to point 4 above. Need to have a strong methodological oversight process so appropriate tools are used to prepare evidence for evidence-based policy dialogue as well as for academic publication.
(7) Provide customized pathways for scaling-up the research and piloting (see Fig. 2) and replicating the proven innovations;	Given the diversity of policy and implementation contexts ICIMOD needs a stronger understanding of challenges for

QQR5 issues raised for MTAPIV	QQR6 Team Comments
	scale-up at sub-national / national / regional and global levels.
(8) Address capacity development needs that may affect the uptake and use of technical assistance;	If ICIMOD is to be a Knowledge Hub in the truest sense, then building skills of scientists and policy/decision makers is vital. Learning from e.g., EC JRC on core competencies and their adaptation to HKH could be useful.
(9) Strengthen the means of verifying the extent of use and adoption of the targeted innovations;	Tracking use of innovation is complex and may involve significant 'time-lag' between completion of work and ability to take to scale. Clarity on necessary and sufficient conditions in different contexts is required as tailored support for scale-up is often more limited than for pilot work and may exclude key marginalised communities if not explicitly addressed as part of the innovation.
(10) Further advance the integration of gender into RP designs and workplans;	Progress has been made on gender but still gaps e.g., disaggregated reporting and social inclusion rarely addressed even though this can have significant impacts on gender inclusion.
(11) Consider opportunities for strategic alliances with other donors where ICIMOD can add value and leverage results;	A vital area – including issue of Climate Funds and Private sector. Remains a challenge and in post Covid-19 era the work of ICIMOD may need to be made relevant to a 'green recovery within the dynamic of climate change and biodiversity loss'.
(12) Ensure that additional funding requirements to achieve RP outcomes are based on realistic cost benchmarks for the necessary outputs to fill the remaining gaps in the MTAP.	Value for Money and a focused management / administration is vital to enable money to be directed to implementation – including for partners.

**Table 12.2: QQR5 Recommendations, narrative, and status at QQR6**

QQR5 Recommendation & Narrative	(2016)	Summary of ICIMOD's Response 4.11.16	Statement on progress by QQR 6 team.
Recommendation 1. Enhance the communication channels with RMCs to increase awareness of and feedback on ICIMOD programmes and usability of outputs.	1.	SCU to review and suggest country by country strategy. Country desks in Myanmar, Bhutan, and China (CHICIMOD) and liaison offices in Afghanistan and Pakistan.	<b>Some Movement</b>
Recommendation 2. Increase the alignment and	2.	Strive to have good alignment with RMC priorities at a	<b>Some Movement</b>

QQR5 Recommendation Narrative (2016) &	Summary of ICIMOD's Response 4.11.16	Statement on progress by QQR 6 team.
engagement with RMC priorities.	strategic level through the board and operationally through our programmes. Can improve to examine how our priorities square with country-by-country priorities. Aligning HKH priorities to be consistent with the SDGs.	
Recommendation 3. Develop and apply guidelines for scaling-up proven innovations and for mainstreaming them into government systems and investment opportunities.	Agree. Emphasis on impact pathways and theory of change. Joint plans to specific data required, capacity needs and which partnerships to be scaled up.	<b>Some Movement</b>
Recommendation 4. Identify the major research questions in HKH region which RMCs consider to be priorities for ICIMOD and develop strategic research partnerships around these priorities.	Agreed. Through HIMAP. Strategic Framework to be executed in consultation with stakeholders and policy makers in the RMCs. Strategy themes that pose major research questions. Needs continuous analysis.	<b>Some Movement (around Theories of Change but not formal research questions)</b>
Recommendation 5. Establish strategic alliances with multilateral organisations for leveraging of knowledge and capacity development and integration of innovations into ongoing development processes	Agreed – this is part of the strategy. Need to strengthen programmatic links to wide range of groups (UNFCCC< CBD, IPBES, IOM, UNCDF, GESO, UNEP.....) Undertake analysis of investment programmes where ICIMOD can 'back-stop'. Role of SCU.	<b>Significant movement with some international organisations linked to the HKH-A finalisation &amp; publication but more limited with others</b>
Recommendation 6. Strengthen the annual review of implementation progress with more rigorous performance data and external input.	Aim to improve the extensive annual review process including verification and validation of key results with third party monitoring. Aim to establish a participatory annual review process for major initiatives through a formal process of documentation and feedback from partners. Integrate partner relationship	<b>Limited movement at an institutional level with some progress by individual RPs.</b>

QQR5 Recommendation Narrative (2016) &	Summary of ICIMOD's Response 4.11.16	Statement on progress by QQR 6 team.
	management system into the monitoring system for annual review of implementation programmes.	
Recommendation 7. Increase regional monitoring of the status and trends in mountain conditions and further promote access to ICIMOD's information portals	Agree – function of ICIMOD and key focus of HIMAP. Regional status of HKH and trends on specific topics.	<b>Significant Movement.</b>
Recommendation 8. Facilitate private and public sector investment planning and the financing readiness of appropriate technologies that emerge from the Regional Programmes.	Agreed. Placing more emphasis on private sector partnerships. Limited experience with private sector funding in relation to public good mandate.	<p><b>Private sector very limited movement. REEECH provides a potential for increased investment &amp; entrepreneurship.</b></p> <p><b>Public:</b> Some progress for climate funding (accreditation). Some progress with IFAD re scale-up opportunities.</p>
Recommendation 9. Prepare a business plan for core funding aimed at sustaining 40% of the annual budgets for programme-wide activities and operating costs.	Core funds vital for sustainability of ICIMOD. 30% of total annual budget mandated by Board. Looking for more programmatic funding rather than project funding and to obtain more core funds. Business plan with ISG for Funding strategy.	<p><b>Core funding: some movement with increase in RMC contribution.</b></p> <p><b>Significant progress in core funding from long term funding partners.</b></p>
Recommendation 10. Revise the Strategic Results Framework and the operational structure to increase the emphasis on key results of regional significance and coherent implementation across and within the Regional Programmes.	SRF aims to emphasize results of regional significance and cohesion across programmes and themes. Want to improve results-based M&E system with clear results and baselines. Standardisation of monitoring and reporting systems.	<b>Some movement – baselines remain an area for improvement.</b>



# Annex 13: A Possible revised structure for ICIMOD

## Key points informing the proposal:

- ICIMOD as an intergovernmental organisation formed by the 8 Regional Member Countries
- ICIMOD as a Knowledge Hub which operates as the Secretariat to the HKH Ministerial Mountain Summit, the HKH Science-Policy Forum and the Task Force (hereafter Secretariat) and coordination of HKH-level monitoring and assessments on a regular basis.
- Need to reform the senior management team given the increased attention that will be required in MTAPV to the 'Secretariat function' as well as increasing the focus on ICIMOD as 'Knowledge Hub'. The latter will see a refocus on 'ICIMOD's space' between science partners and implementation / policy partners. (SRF 2017 p13)
- A more rational arrangement of the ICIMOD Portfolio of work with technical teams created to suit individual initiatives.
- Splitting the D-DG position acknowledges the different skills required to fulfil the 'General Manager' and 'Knowledge Management' roles and ensures senior competency and ability to fulfil the different roles.
- Acknowledges the HKH Secretariat function and the need to resource this (skills, finance and evidence) in a coherent and visible manner.
- Separates the Portfolio Monitoring from the Evaluation and Learning function.
- Need to increase the potential for ICIMOD to support learning, both internally and across the region. The latter to support evidence to policy / decision making in the 8 RMCs and to support regional and global processes.
- That ICIMOD has a focus on regional programmes and on transboundary programmes. The table below highlights the differences between these:
- Need to simplify the matrix structure and address the focus on ICIMOD as a Knowledge Hub.
- That the relationship with the RMCs needs to be improved with increased liaison. This is not a 'partnership' arrangement as such as ICIMOD **is the RMCs!**
- ICIMOD needs to consider much more strategically its partnerships and ensure effective and timely management of these relationships including learning and policy / decision making leverage where appropriate.
- Propose 4 new technical areas which form the ICIMOD Portfolio designed to answer the strategic questions developed with RMCs for MTAPV:
  1. **Air.** covering air pollution etc. Mainly 'regional programming'
  2. **Water & Cryosphere including DRR** (some overlap with work under Social-ecological systems around small-scale water interventions e.g., Springsheds) Combination of regional and transboundary programming
  3. **Social-ecological Systems.** Mainly transboundary work. Includes biodiversity, forestry, agriculture, social-ecological system resilience and livelihood development – including relevant linkages with the 9 Mountain SDGs from CtA.
  4. **Regional Mountain Monitoring.** Provides the core space for networking, evidence synthesis, regional database, geospatial and long-term monitoring of change in the HKH. This work is closely linked to the Secretariat function

as will provide the inputs (skills, evidence, and management function) for future HKH Assessments and thematic work in both science and social-economic domains. This would include a Geospatial Unit / SERVIR / RDS..... Note that the services of Geospatial could be available for work across different initiatives and outside ICIMOD but would have a technical research / methodology assessment function in its own right to ensure ICIMOD remained at the forefront of use of technology for effective monitoring in a time of fast and dynamic change.

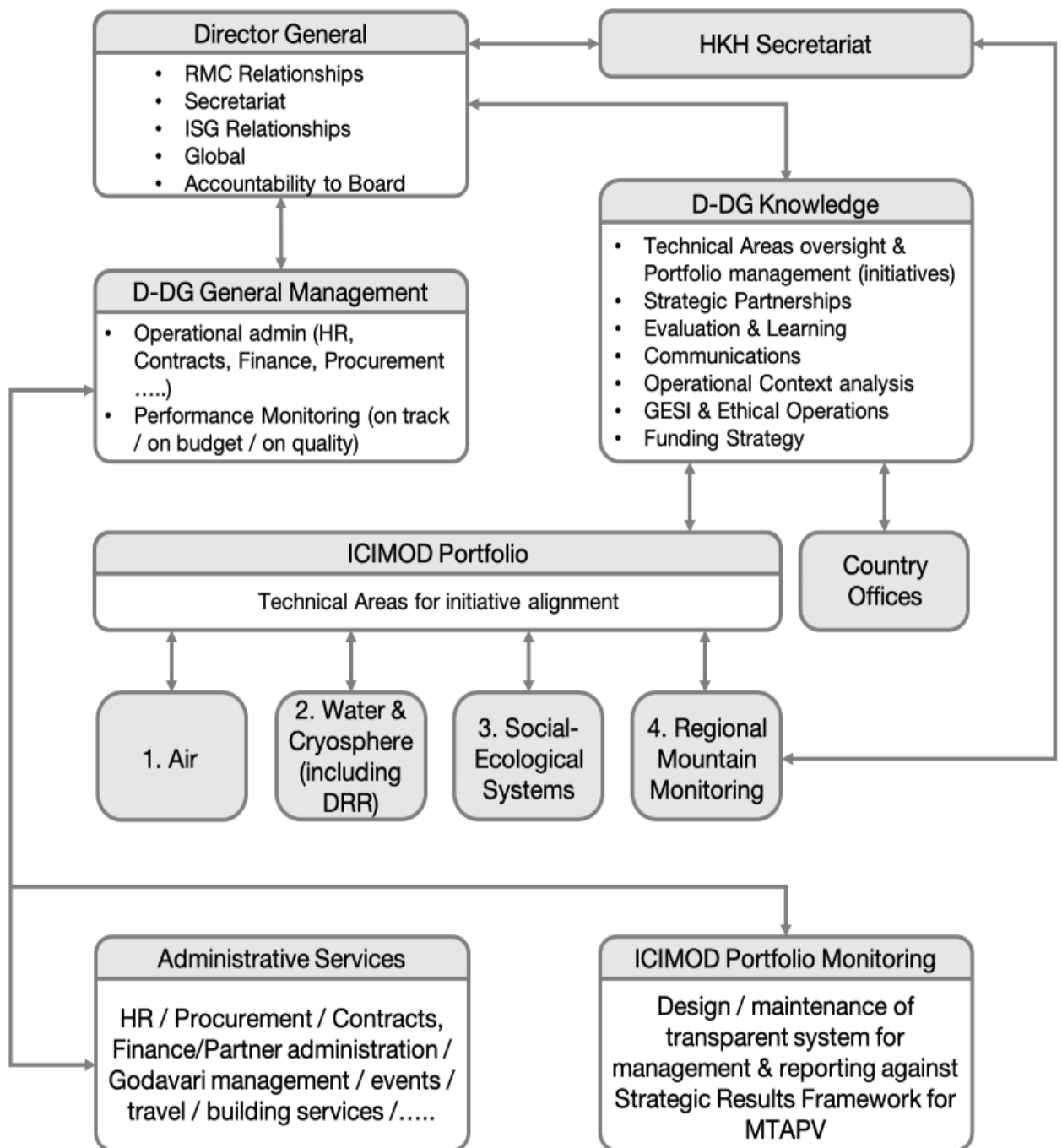
**Table A13.1: Comparing regional and transboundary initiatives**

Focus	Spatial	Temporal	Governance	Type of Partnerships?
<b>Regional Type Initiatives</b>				
Issues based e.g., tourisms, air pollution, cryosphere	2 or more countries that do not have to share a common border	Can operate in each country at a pace to suit local context and opportunities.	Primarily linked to national / sub-national policy / decision making. Often looking for sustainability / embedding to be achieved.	Partners can operate in different countries at speeds to suit context. Can vary partners for 'scale-up' over time.
<b>Transboundary Type Initiatives</b>				
Landscape / river basis i.e., defined boundary	2 or more countries sharing a common border or within the same river basin	Work needs to go at similar speeds in each country to enable coherent management of site / river basin.	Can include national / sub-national decision making, but also considerations of transboundary agreements over time in multiple sectors. Often looking for scaling from one site to many.	Partners need to work together on issues including Co-design, monitoring, communication & scale-up on site & beyond. Long term engagement with high input from RMCs as well.

Below is a simplified initial proposal for a refocused ICIMOD structure that would enable to act as a Regional Mountain Knowledge Hub whilst acting as the Secretariat to the HKH Ministerial Summit and related processes. Note that if this approach is seen as of value, then it would be made more detailed as part of the development of the Strategic Framework.

Note that we have suggested the new position of Deputy-DG General Management. This was to indicate the level of authority for this position – but this could be a senior Director position with clarity around roles, responsibilities and levels of authority for the smooth running of ICIMOD.

Figure A13.1: *A Possible* revised structure for ICIMOD? (outline only as if this is to be followed up then will require more detailed work to provide higher level of detail)



# Annex 14: Short analysis of Arctic and Mountain institutions

ICIMOD has a unique mandate to work on a shared landscape among eight countries: the Himalaya-Hindu Kush Mountain Range. While there are no other organization in the region with a similar mandate, there are other organizations operating elsewhere in the world that carry Sustainable Mountain Development (SMD) as their mission. This annex reviews a few of the more established and prominent organizations that work on SMD and other cryospheric landscapes such as the Arctic Region.

## Mountain Partnership<sup>93</sup>

Established in 2002, the Mountain Partnership has an open membership policy and as of 2017 had 300 members, most of them civil society organizations but also, in fewer numbers, governments (57) and inter-governmental organizations (15). The Mountain Partnership's secretariat is hosted by Food and Agricultural Organization headquarters in Rome and is governed by a steering committee that represents different categories of members on a rotational basis. It receives funds, primarily, from Swiss and Italian governments.

Similarities/dissimilarities with ICIMOD: The Mountain Partnership is primarily an advocacy organization with an open membership policy and operates as an umbrella organization of all governments and organizations working on SMD. ICIMOD is regionally focused, inter-governmental organization with closed membership (limited to eight countries) arrangements. While the thematic areas of work for the two organizations are similar, ICIMOD has a larger activity footprint compared to the Mountain Partnership.

## Arctic Council<sup>94</sup>

Established in 1996 and headquartered in Norway, the Arctic Council comprises of eight member states, representatives from six Arctic communities, and observers. The Arctic Council primarily conducts assessments on the Arctic ecology, society, and environment and facilitates agreements on protection of the Arctic landscape, culture, and environment among the council members.

Similarities/dissimilarities with ICIMOD: The inter-governmental nature and the numbers of participating governments are similar between ICIMOD and the Arctic Council. There are, however, some fundamental differences between the two organizations: the Arctic Council is designed primarily for the preservation of the region rather than to sustainably develop the region, all members of the Arctic Council are developed countries with large resource mobilization capacity unlike the countries in the HKH region whose average per capita income is USD 1,700 (barring China), the Arctic region is one of the most thinly populated areas of the planet whereas the HKH region is one of the most densely populated areas, and history and experience of regional cooperation in the HKH region is at a completely different stage than the Arctic region. ICIMOD has, with the help of Skoll Global Threats Fund, explored the idea and possible mutual learning opportunities with Arctic Council in Bhutan in 2016. Many of the regional participants felt that the contextual divergences are too wide for meaningful replication of some of strategies and approaches of the Arctic Council.

---

<sup>93</sup> <http://www.fao.org/mountain-partnership/en/>

<sup>94</sup> <https://arctic-council.org/en/>

## Arctic Circle<sup>95</sup> and International Commission for the Protection of the Alps (CIPRA)<sup>96</sup>

The two organizations are clubbed because both are non-governmental, non-profit organizations built to support inter-governmental commitments for the protection and sustainability of shared landscapes. The Arctic Circle is based in Reykjavík, Iceland, and is the largest network of international dialogue and cooperation on the future of the Arctic. It is an open democratic platform with participation from governments, organizations, corporations, universities, think tanks, environmental associations, indigenous communities, concerned citizens, and others interested in the development of the Arctic and its consequences for the future of the globe. CIPRA was established in 1952 and operates out of eight countries as a network organization. CIPRA has been bringing people and organizations together across cultural, geographic, political and language divides, people who are committed to sustainable development in the Alps. Its members include more than 100 associations, organizations, and individuals.

Similarities/dissimilarities with ICIMOD: CIPRA and the Arctic Circle are non-governmental organizations and are “politically motivated” to protect and sustain the ecological integrity and value of the landscapes they work on. ICIMOD on the other hand has a non-political, neutral convener role. On networking and knowledge services, however, these organizations have deeper and longer experience than ICIMOD. Both organize highly recognized and widely publicized annual knowledge events that bring crucial environmental issues, innovations, and knowledge to the notice of regional and global science and policy communities in an impressive way. A key feature of both annual events is the mobilization of private sector support, an approach with which ICIMOD has not had significant success.

---

<sup>95</sup> [www.arcticcircle.org](http://www.arcticcircle.org)

<sup>96</sup> [www.cipra.org/en/about](http://www.cipra.org/en/about)

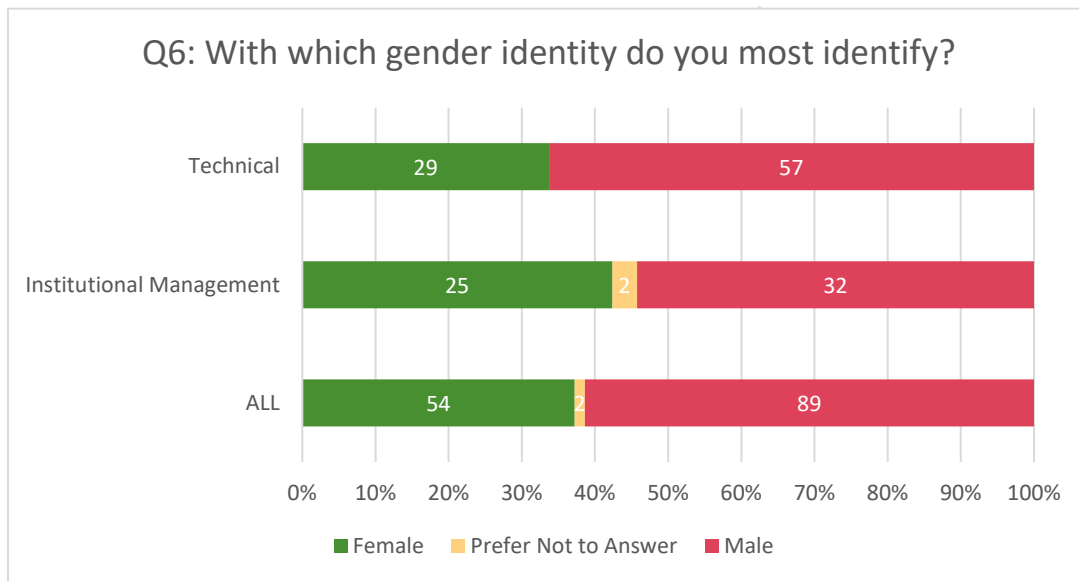
# Annex 15: Critical evidence from Staff Survey

This annex presents selected staff survey findings that have been referenced in the text.

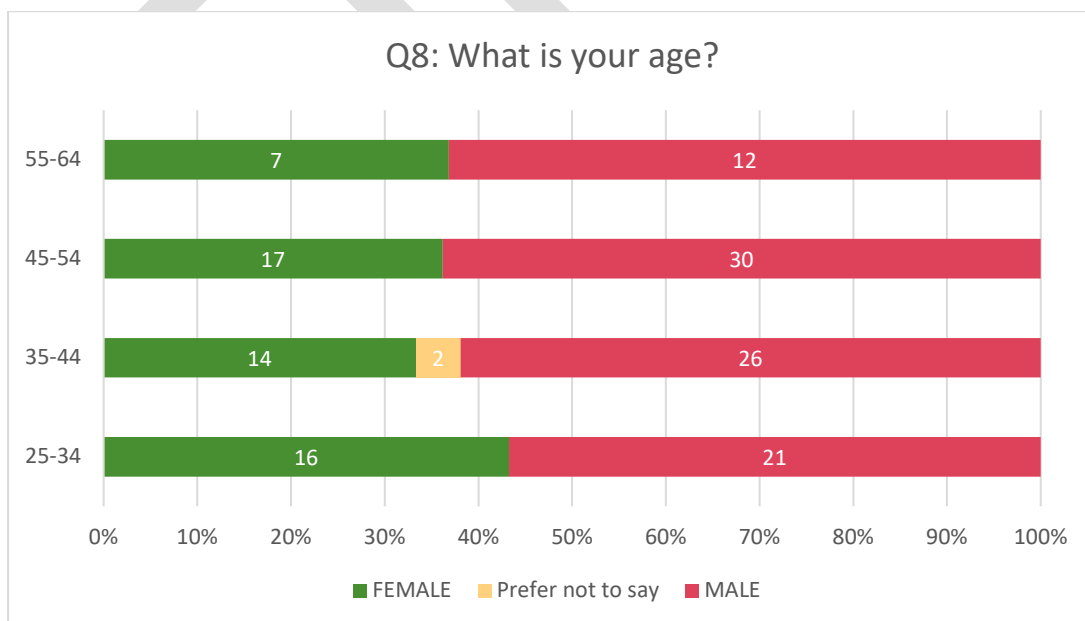
## Staff Demographics

**Question 6: With which gender identity do you most identify?**

Answered: 145 / No Responses: 14

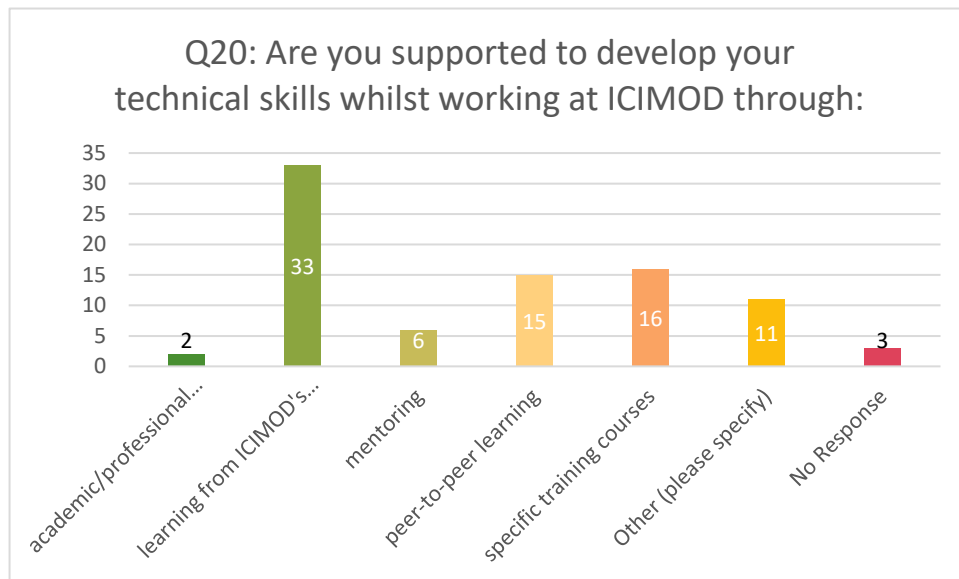


**Question 8: What is your age?** Answered: 145 / No Responses: 14

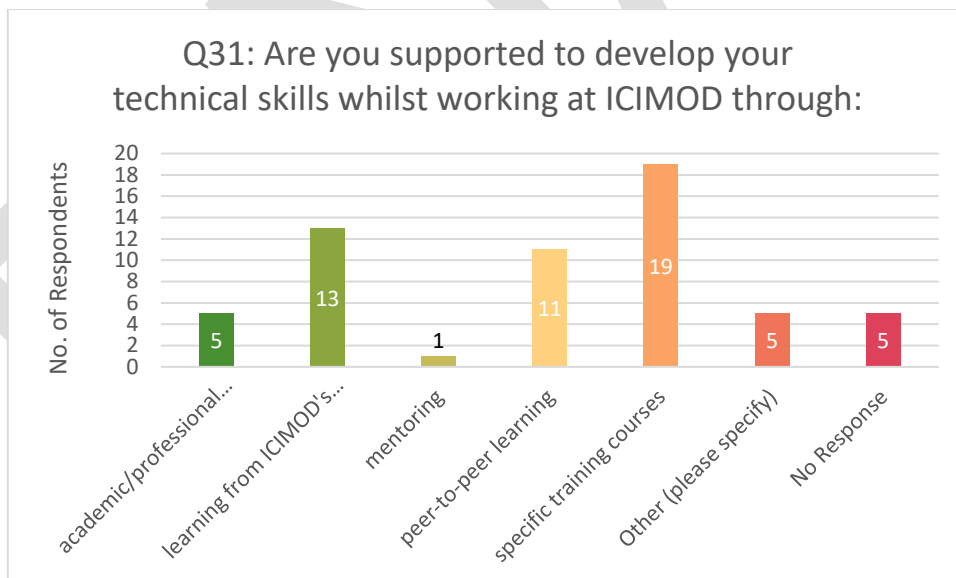


## Capacity Building - Internal

Question 20: Are you supported to develop your technical skills at ICIMOD? (Technical staff)



Question 31: Are you supported to develop your technical skills whilst working at ICIMOD? (Institutional staff)



Question 25: What, if any, specific areas would you see as needing improvement to enable ICIMOD to deliver the SRF with partners at all levels? (Open-Ended Response)

Answered: 80 / No Responses: 6

Summary of responses:

- Need to consider systems and processes and simplify where possible for:
  - Partners

- staff performance
- delegation
- recruitment
- reporting (merge 3 systems)
- Need to increase RMC ownership. Need to rethink matrix system as it's time consuming to manage.

Question 26: What would you do differently to enhance the impact of your programmes, particularly when you work through implementing partners? (Open-Ended Response)

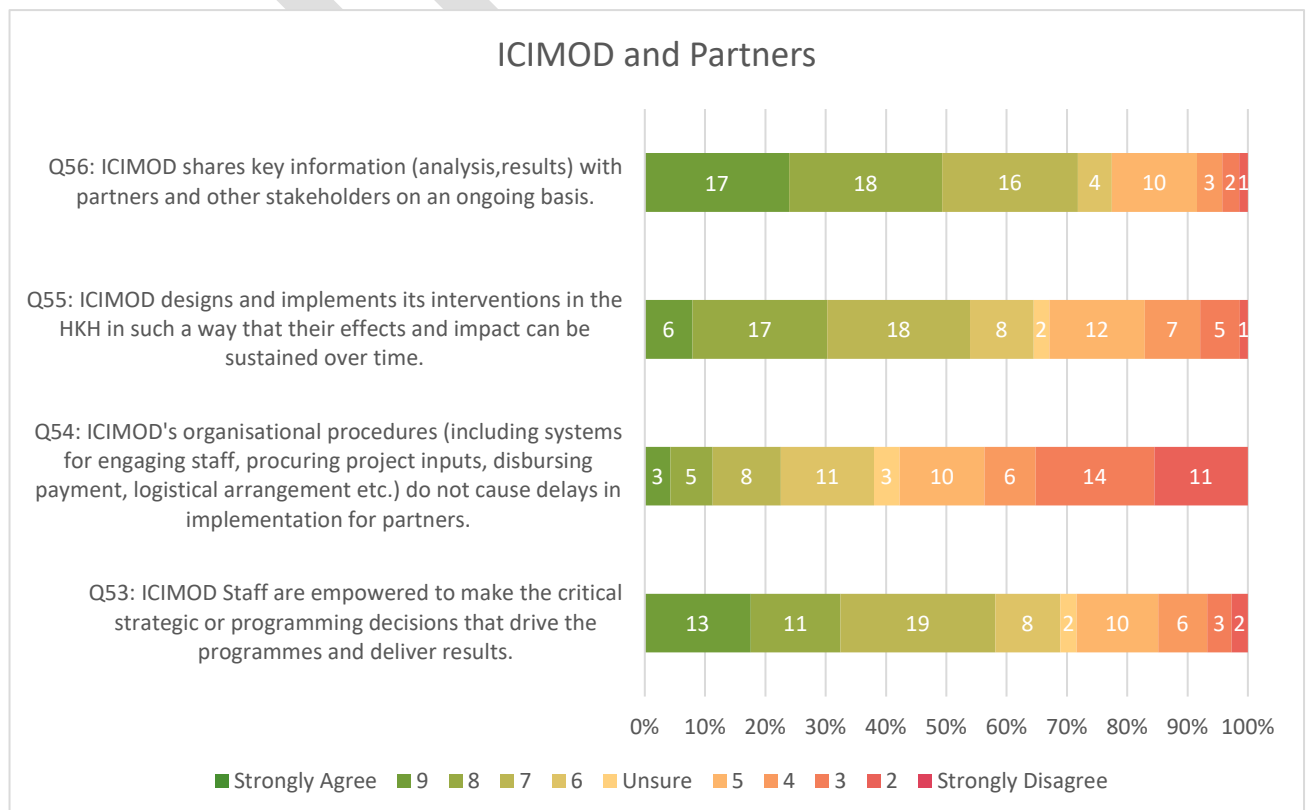
Summary of responses:

- Within ICIMOD: Need better delegation. Matrix and management unbalanced. Need to reduce management layer thus reducing overheads in ICIMOD which may allow resources to partners. Need a 10 - 20 year vision in ICIMOD.
- With partners: Need more budget to partners and more focus on strategic relationships. Reduce complexity and focus on needs, data, technical and managerial limits in partners.
- Increased engagement with mountain communities.
- Improve sharing of knowledge including Indigenous Knowledge.

## Partnerships

Question 54: ICIMOD's organisational procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangement etc.) do not cause delays in implementation for partners.

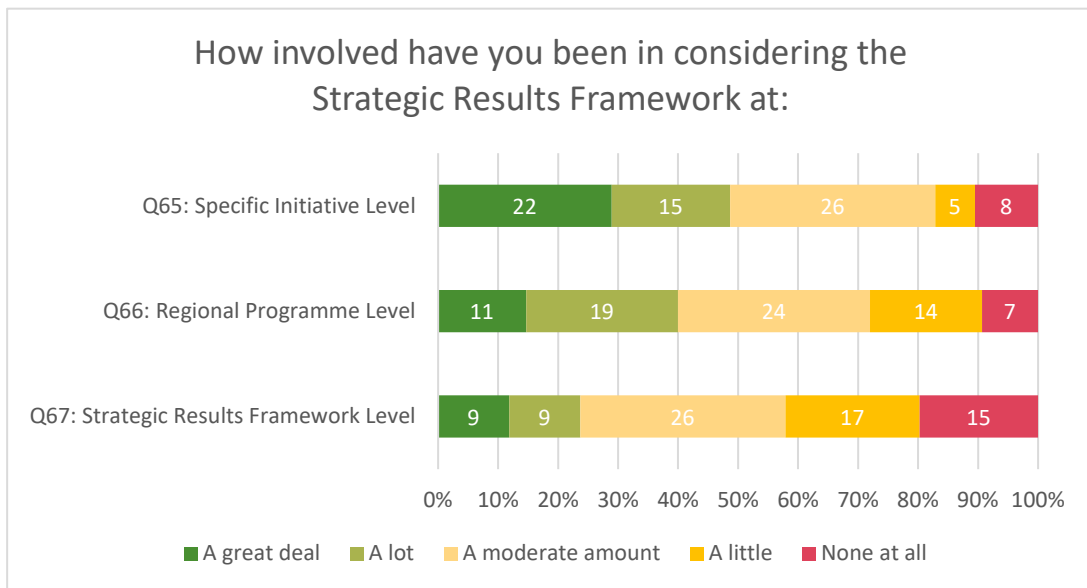
Answered: 80 / No Responses: 6





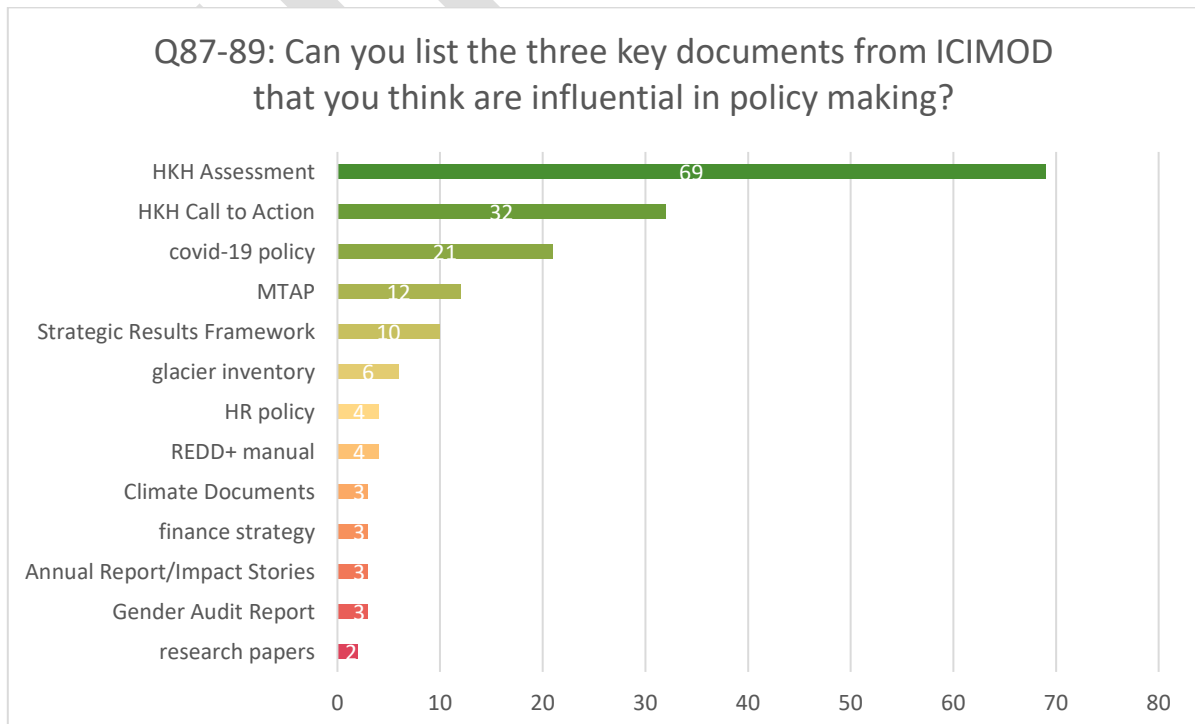
## Results and Impact

Questions 65 – 67 (Technical Staff) regarding involvement in SRF design etc

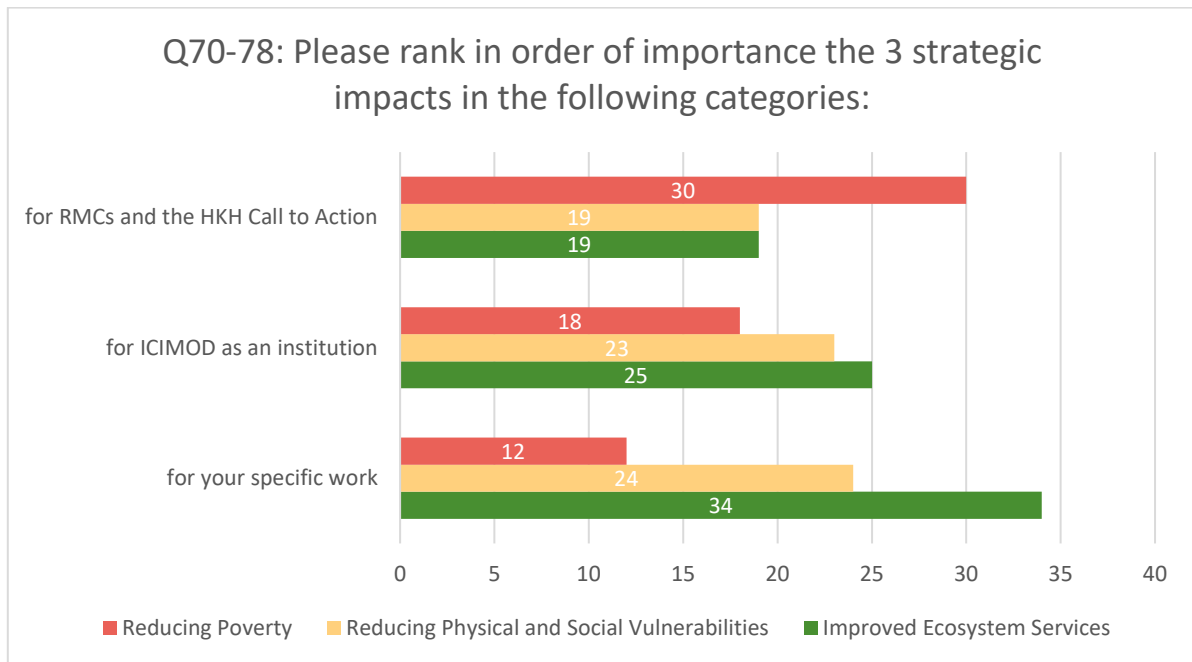


### Publications and influence in policy making

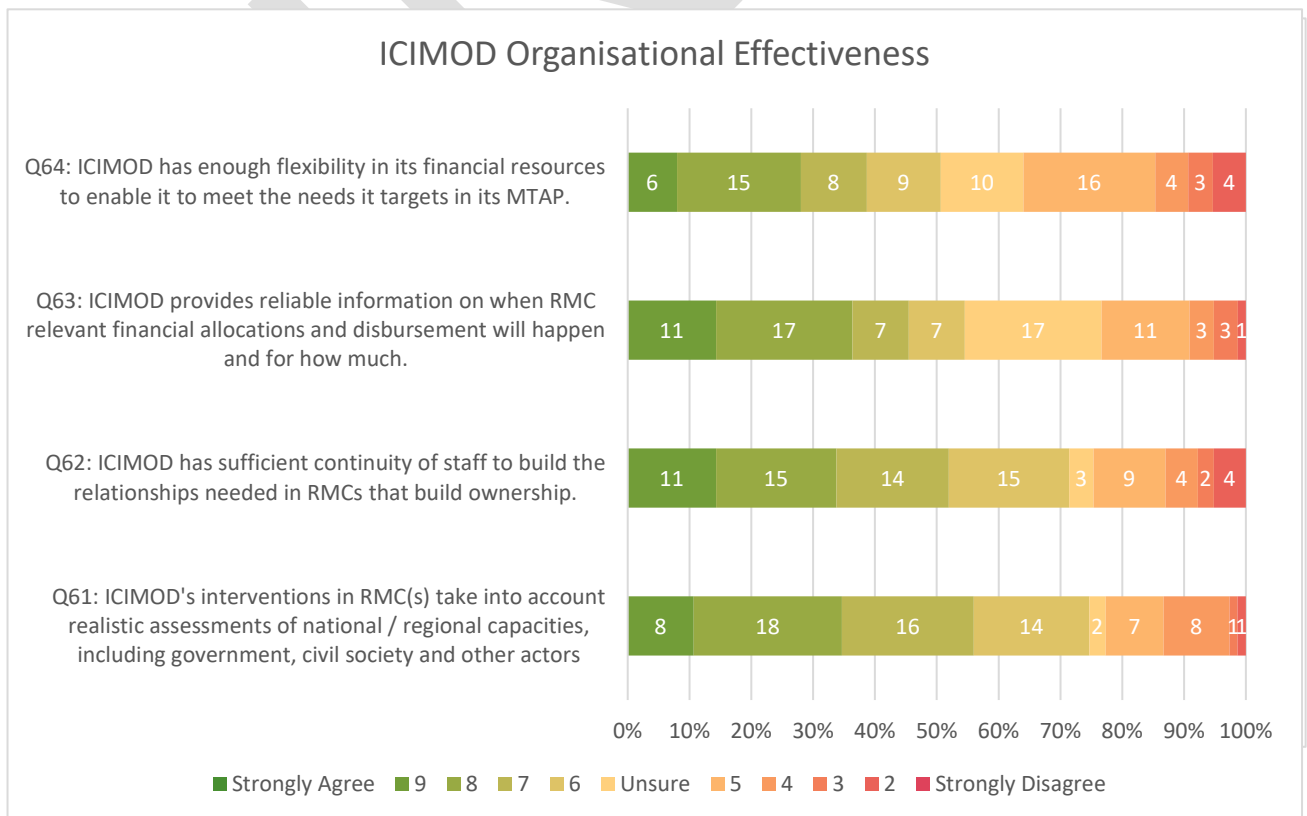
This question also garnered a large number of miscellaneous, single-instance responses which are not included in the graphic below. The graphic is intended to show the instances of documents with multiple mentions. Approximately 135 mentions of miscellaneous documents not included were garnered in the responses.

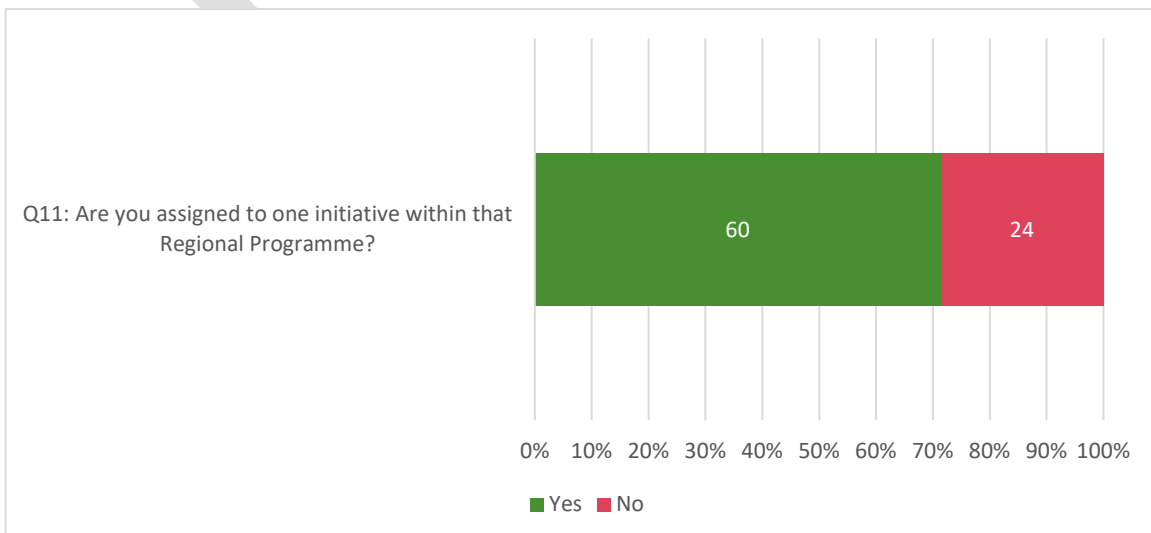
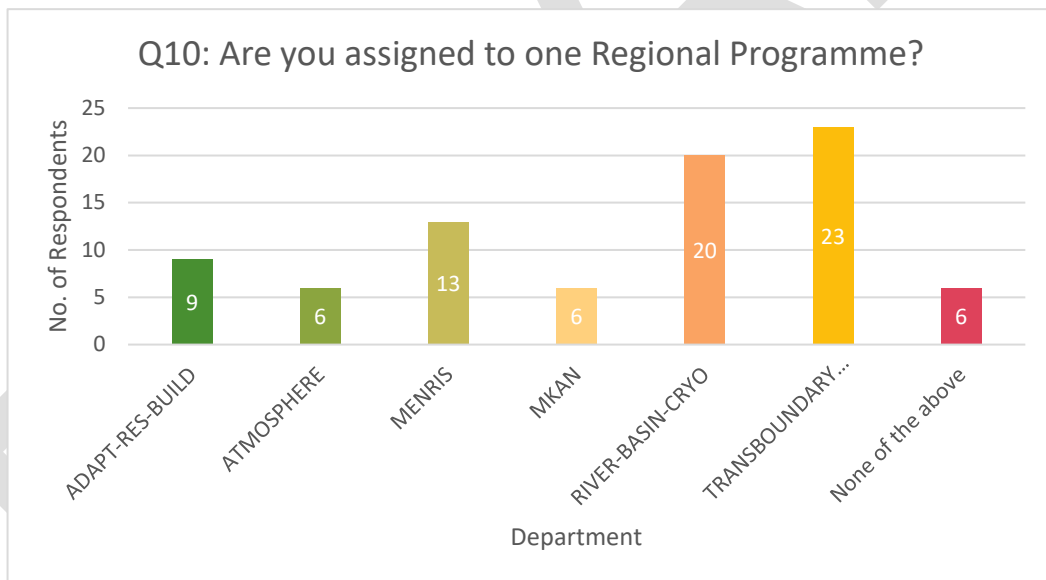
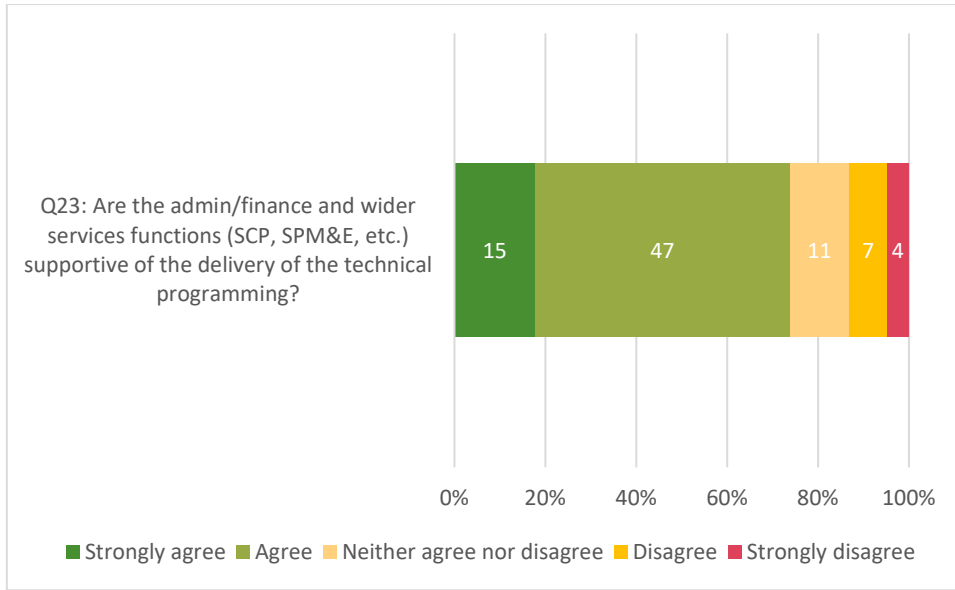


## Strategic impacts and staff perceptions



## ICIMOD Organisational Effectiveness



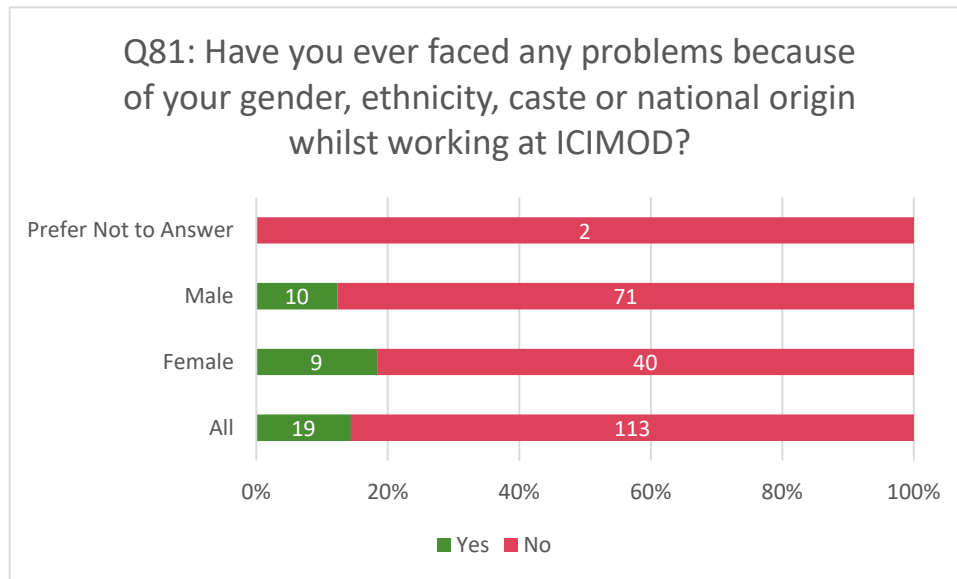


## GESI

Question 81: Have you ever faced any problems because of your gender, ethnicity, caste or national origin whilst working at ICIMOD?

Answered: 132

No Responses: 27



Question 82: If so, what form has this taken? (Open-Ended Response)

Answered: 68 / No Responses: 91

Summary of Responses: Additional examples were given but are being treated in confidence. Key problems included:

- nationality and discrimination e.g. India / Pakistan
- ex-pats and remuneration / school packages
- lack of professional respect with men addressed as Dr. and women not - even if have PhD

Question 85: Do you have any suggestions for improving ICIMOD's approach to Gender and Social Inclusion? (Open-Ended Response)

Answered: 110 / No Responses: 49

Summary of Responses:

- Social Inclusion is seen as weak area in ICIMOD. Needs more attention to include caste and other forms of exclusion relevant to RMC contexts.
- ICIMOD needs more senior women. Also needs to pay attention to national / ethnic diversity.
- Need better clarity on ICIMOD's approach in relation to RMCs / partners and hence initiatives.

- GESI research and monitoring should be increased. Need to understand GESI in context and reality - especially if looking for transformative changes.
- Within ICIMOD work should be based on RESPECT.
- Work on gender should include more than focus on women and include additional forms of exclusion.

FEMANA

# Annex 16: Results / Impact 4 cases

## Case 1: HKH Assessment and Call to Action Process

### Introduction

ICIMOD undertook the HIMAP project during MTAPIII. This was an ambitious, but necessary, large-scale initiative to utilise an IPCC-like approach to undertaking a systematic literature review on a range of topics of concern for Regional Member Countries in the Hindu-Kush Himalaya. The assessment was completed in 2017 and then published formally in 2019. The period between completion and publication saw significant work to promote the HKH-Assessment within Regional Member Countries, the IPCC and IPBES. The traction gained at the IPCC can be seen in the Special Report on the Oceans / Cryosphere<sup>97</sup> where ICIMOD staff were both Coordinating Lead Authors and Lead Authors. IPCC Working Group II also has a chapter on Mountains – this is the first one since 1995. Whilst in 1992 Mountains rated a whole chapter in Agenda 21<sup>98</sup> it has only been recently that the mountain agenda has come back into strong view. ICIMOD has contributed to this and has increased its profile at both the UNFCCC COP25 and CBD COP14. ICIMOD has strategies for engagement with UNFCCC COP26 in Glasgow and CBD COP15 in Kunming both currently planned for late 2021.

### Process Comments

- It is hoped that ICIMOD will write up the process in detail (with timeline and ‘pivotal moments’) as this is a critical learning opportunity for the institution as it may be a ‘pivotal’ process in ICIMOD’s utility for RMCs and global processes.
- The HKH-Assessment was guided by a Steering Committee and the aim was to provide a **regional assessment**<sup>99</sup> rather than individual country assessments.<sup>100</sup> Whilst some would like to see the HKH-Assessment provide country summaries this was not part of the initial process. Perhaps, in the future and if funding was available, members of HUC in each country could provide country level summaries and cross-link to the main report?
- For the future it is possible that sub-regional studies / thematic studies may be important to provide further focus before any update is carried out on the regional assessment.
- Currently 3 thematic areas are proposed:
  - Cryosphere and society outlook given the fast-moving nature of this subject (due end 2022)
  - Regional cooperation and benefits: An exploratory study
  - A Monitoring Framework for the HKH which could be linked to the 9 mountain priorities for SDGs e.g., Green Cover.<sup>101</sup>

<sup>97</sup> See <https://www.ipcc.ch/srocc/>

<sup>98</sup> Chapter 13 – Managing fragile ecosystems: Sustainable Mountain Development. Agenda 21: Earth’s Action Plan. United Nations Conference on Environment & Development Rio de Janeiro, Brazil, 3 to 14 June 1992 <https://sustainabledevelopment.un.org/content/documents/Agenda21.pdf>

<sup>99</sup> Summary available (<https://lib.icimod.org/record/34450>) . HIMAP website (<https://www.icimod.org/initiative/himap/>) , Individual Chapter Briefs: [https://lib.icimod.org/search?page=1&size=20&q=%27chapter%20AND%20brief%27&icimod\\_doc\\_su\\_btype=General%20Publications](https://lib.icimod.org/search?page=1&size=20&q=%27chapter%20AND%20brief%27&icimod_doc_su_btype=General%20Publications)

<sup>100</sup> India has done a National Climate Assessment <https://reliefweb.int/report/india/assessment-climate-change-over-indian-region-report-ministry-earth-sciences-moes> )

<sup>101</sup> Green Cover of Mountains (<https://sdg.tracking-progress.org/indicator/15-4-2-mountain-green-cover-index/>) which could then be monitored in the HKH. (Note custodian of indicator is FAO)

- Capability of ICIMOD to host the Ministerial meeting is important to recognize. The Interim task force was appointed by the Board of Governors and the formal Task Force has its first meeting in February 2021. <sup>102</sup> ICIMOD had a structured approach which was careful and slow and was agreed by the Board of Governors. It is hoped that the 2<sup>nd</sup> Ministerial meeting will be held in 2022 and be guided by the High-level task force and the Science and Policy Forum.

## Going forward?

- The ongoing work of the Task Force and the Secretariat requires a long-term commitment from ICIMOD for funding, personnel with appropriate skills and the production of new evidence and learning with a regional perspective that is relevant for the RMCs to act on areas of 'common concern' in the HKH.
- Level of Resourcing? Is this work seen as a strategic priority by RMCs / ISG? Currently work is funded from core and will need to be appropriately resources through MTAPV and IV if process facilitation, thematic studies and a 2<sup>nd</sup> regional assessment are to be undertaken by 2030.
- For MTAPV careful consideration of how the process to follow up on the Ministerial Declaration will be carried out. Current proposal is a combination of 'closed door meetings of small groups of ministers and scientists' as well as public consultations. Who and how stakeholders are brought in will remain a sensitive area?
- **Building a HKH 'Centre of Excellence' on use of a range of Systematic Reviews.** The experience gained by ICIMOD staff on the HKH-Assessment, IPCC and IPBES work as well as specific sectoral evidence systematic reviews<sup>103</sup> could be built into a 'Centre of Excellence' where Systematic Reviews are given the same 'status' for publication as new research findings. If ICIMOD is to become more of a Knowledge Hub then use of Systematic Review processes can provide an understanding of existing evidence to support further research, to support the evidence to policy process and to answer specific questions. (See Appendix 1 for types of questions that can be served by good quality systematic reviews)
- **Spotting future opportunities?** There is increasing concern about the levels of food insecurity globally and recently Nature published an editorial<sup>104</sup> suggesting an 'IPCC type process for food security'. Given the work of Golam Rasul and team in Chapter 9 of the HKH could this be something that ICIMOD could quickly pick up for the HKH? The issue of food security could provide an interesting, and substantive, link between ICIMOD staff perception that they focus primarily on ecosystem services and the RMC interest in poverty reduction. Understanding how good management of natural resources contributes to food security and hence poverty reduction as part of Sustainable Mountain Development could provide an important short-medium term focus for ICIMOD and RMCs.
- **Enabling a 'unified voice' for the HKH region at international meetings for example through the #HKH2Glasgow campaign?** As part of the preparation for the UNFCCC Conference of Parties meeting in Glasgow currently planned for November 2021

<http://www.fao.org/mountain-partnership/our-work/advocacy/2030-agenda-for-sustainable-development/mountain-green-cover-index/en/#:~:text=Definition%3A,progress%20towards%20the%20mountain%20target>. – note the current work put Central and Southern Asia together).

<sup>102</sup> <https://www.icimod.org/event/first-meeting-of-the-hkh-high-level-task-force/>

<sup>103</sup> See for example: Sharma, P, *et al* (2021). Human-Wildlife conflict in the roof of the world: Understanding multidimensional perspectives through a systematic review. *Ecology and Evolution*. 2021;00:1–18 DOI: 10.1002/ece3.7980

<sup>104</sup> [https://www.nature.com/articles/d41586-021-01904-0?WT.ec\\_id=NATURE-20210715&utm\\_source=nature\\_etoc&utm\\_medium=email&utm\\_campaign=20210715&sap-outbound-id=39D20183918FB8CDB88B0BD295D20F5AD1EEB067](https://www.nature.com/articles/d41586-021-01904-0?WT.ec_id=NATURE-20210715&utm_source=nature_etoc&utm_medium=email&utm_campaign=20210715&sap-outbound-id=39D20183918FB8CDB88B0BD295D20F5AD1EEB067)

ICIMOD has been working to create a 'unified voice' for the HKH.<sup>105</sup> This approach could create a model for wider work including on Biodiversity, transboundary water management and other issues of common concern in the region.

## Conclusion

The production of the HKH-Assessment was the results of a detailed and careful process. The reception in the region and globally is testament to that. Continuing to build on this through the HKH Ministerial Mountain Summit process and the HKH-Science-Policy Forum will be important for ICIMOD in the period to 2030 (and beyond). It will require a high level of skill (across the scientists and policy/decision makers involved) to maintain momentum in the dynamic context that will be post-pandemic and climate disruptive world with significant changes in the funding landscape – for RMCs and ICIMOD. This process will need to be informed by the wider work of ICIMOD – including its own research (new and synthesis), its partnerships and wider networks at regional and global levels. Ensuring the work is resourced (funding and the right people at the right time) will be vital.

### Appendix 1: Types of Systematic Reviews in environmental management<sup>106</sup>

Note that the Collaboration on Environmental Evidence does not yet have a South Asia (or mountain) specialist in its network.

Answer being sought	Example question
Greater understanding or predictive power	What is the role of biodiversity in maintaining specific ecosystem functions (e.g., biogeochemical cycles)? Here, a specific problem may be assessed to know whether it is really a problem and, if so, how big it is, and what are the significant drivers of changes.
Impacts of exposure to anthropogenic stressors	What is the impact of wind farm installations on bird populations? This type of request often addresses the effect of an exposure to a device, management practice or other stressor (e.g., pollutant) on biodiversity.
Socio-economic outcomes	What are the anticipated costs of the impacts of invasive species on health or agriculture? This type of request may require datasets collected by economists and social scientists, and their associated specific analytical tools.
Intervention effectiveness	How effective are marine protected areas at enhancing commercial fish populations? Very often commissioners will be eager to ask for a list of possible interventions or actions, with the evidence of their effectiveness or understanding of the conditions under which one action is effective or not.

<sup>105</sup> <https://www.icimod.org/hkh2glasgow-hindu-kush-himalaya-countries-to-raise-a-unified-voice-for-mountains-at-cop26/> and Letter from the DG sent by email: [https://www.icimod.org/hkh2glasgow-a-unified-mountain-voice/?utm\\_source=Mailing+ListRC&utm\\_campaign=6d71c4ad25-EMAIL\\_CAMPAIGN\\_2020\\_03\\_03\\_11\\_08\\_COPY\\_01&utm\\_medium=email&utm\\_term=0\\_a6169127a0-6d71c4ad25-98001398](https://www.icimod.org/hkh2glasgow-a-unified-mountain-voice/?utm_source=Mailing+ListRC&utm_campaign=6d71c4ad25-EMAIL_CAMPAIGN_2020_03_03_11_08_COPY_01&utm_medium=email&utm_term=0_a6169127a0-6d71c4ad25-98001398)

<sup>106</sup> Note from the Collaboration on Environmental Evidence: <https://environmentalevidence.org/information-for-authors/2-need-for-evidence-synthesis-type-and-review-team/>



Answer being sought	Example question
Appropriateness of a method	What is the most reliable method for monitoring changes in carbon stocks in forest ecosystems? Here the question aims to identify which of several methods would be the most appropriate to provide guidelines for users and policy.
Optimal management options	What is the optimal grazing regime for maximizing plant diversity in upland meadows? Such a concern relates to efficiency or cost-effectiveness of an intervention or combination (“bundle”) of actions.
Optimal ecological or biological state	What is the desirable state of forest in terms of the distribution of deadwood and other biodiversity-relevant structures? This addresses values and philosophical approaches; the need for evidence would relate to the relationship between the state and its outcomes (e.g., ecosystem services)
Opinion or perception	Is there public support for badger culling in the UK? Datasets for this type of question may come from opinion polls or surveys, rather than experimental studies.
Ecological or geographical distribution	How has the distribution and abundance of rabies in fox populations changed in the last 10 years? Here one could ask if there is any evidence of change and whether it is homogeneous across spatial and temporal scales and species.

FEM

## Case 2: Renewable Energy and Energy Efficiency Capability for the Hindu Kush Himalaya (REEECH)

This short case examines the development, by ICIMOD and UNIDO (United Nations Industrial Development Organisation)<sup>107</sup> of a specialised Renewable Energy and Energy Efficiency Hub focused on Mountain Communities in the Hindu Kush Himalaya.

UNIDO has established, in partnership usually with regional economic communities, (RECs) and their member States a Global Network of Regional Sustainable Energy Centers (GN-SEC). REEECH based at ICIMOD is unusual (but not unique) in a) not being set up in partnership with a REC and is unique in having a specific place-based focus i.e., mountain specific sustainable energy solutions in the context of climate change mitigation and adaptation. UNIDO's focus for its network is given in Box 16.1. There are two points to note regarding the operation of REEECH at ICIMOD:

1. Within the GN-SEC network REEECH is unusual in that the centre does not have its own legal personality but is set up as a programme of ICIMOD.
2. That the Austrian Development Cooperation (ADC) fund both UNIDO to set up the GN-SEC and the individual centres. This includes the ADC / UNIDO / ICIMOD partnership to establish REEECH. The majority of the finance for the set-up and transition phase (2018 – 2022) has been from ADC with co-finance from IRENA and UK-FCDO.

The REEECH was launched in November 2018 as an initiative under the Regional Programme on Adaptation and Resilience Building (RP1) however it did not start full operations until September 2019 when the contract with UNIDO was signed. The first Programme Steering Committee was however only held (virtually) on 28<sup>th</sup> April 2021. It has an indicative first operational phase from 2018 – 2022. ICIMOD has an agreement with UNIDO for the start-up and first operational phase of REEECH with co-finance from IRENA and UK-FCDO. The budget from 10 September 2019 – 31 December 2022 is US\$1,701,604 of which by May 2021 \$578,791 has been spent.

### Box 16.1: UNIDO's Aim for GN-SECBox

The regional sustainable energy centers aim to **accelerate the energy and climate transformation by creating economies of scales, equal progress and spill-over effects between countries**. In partnership with Member States and other sub-regional players (e.g. power pools, utility organisations, regulatory authorities, regional banks), the centres **work towards the creation of integrated regional markets for SECT products and services** by setting targets, policies, standards and incentives, as well as de-risking of investments through the provision of reliable data, analytics, bundling of projects and convening power.

### The case for Sustainable Energy in the HKH?

SDG7 recognised that access to sustainable forms of energy, including renewable, and improving energy efficiency is vital to achieving the SDGs, both development and climate change focused. Whilst ICIMOD is currently working to establish the baseline relating to energy access and use in the HKH access to energy in the mountains is acknowledged as limited. The link between poverty and access to energy has been documented recently by the

<sup>107</sup> REEECH is one of several Regional <https://www.unido.org/our-focus/safeguarding-environment/clean-energy-access-productive-use/climate-policies-and-networks/global-network-regional-sustainable-energy-centres>

OPHI<sup>108</sup> at a global level. Modern energy services are seen as vital for households / communities, for private sector development (e.g. tourism and post-harvest technologies) as well as government service delivery (schools, clinics, government office – and in some areas e-services). For mountain communities understanding the current level of access and barriers to modern energy services (technology, governance, costs...) will be an important part of the REEECH work during the initial phase. Access to energy has been ‘flagged’ as part of the Call to Action vision for the 2030’s and building the evidence base around what works, where and for whom will be vital to ensure that investments are targeted appropriately and post installation governance for operations and maintenance are well planned and viable.

## ICIMOD as regional intergovernmental organisation and REEECH

The decision by ICIMOD to engage with UNIDO for REEECH is not the first time that ICIMOD has hosted a regional centre for a global network. ICIMOD has hosted SERVIR<sup>109</sup> for many years and has been active in its development – including around Monitoring and Evaluation.<sup>110</sup> ICIMOD was seen as an effective neutral body that would provide a unique focus for mountain communities.<sup>111</sup> ICIMOD used the SERVIR model i.e., the ‘hub’ is located as an initiative under a regional programme Mountain Environment Regional Information System (RP5 MENRIS). It has a prioritized focus on Afghanistan, Bangladesh, Myanmar, Nepal, and Pakistan. So, for REEECH ICIMOD has located the initiative under the Adaptation and Resilience Regional Programme (RP1).

It should be noted that the MTAPIV did not include REEECH as a ‘stand-alone’ hub but did indicate that access to clean energy was an important potential area for this RP. Support from the Austrian Development Agency, through UNIDO, also provides support to ICIMOD during the start-up and first operational phase. The support and results framework form part of the ICIMOD-UNIDO agreement.

## Comments on process to date

- The engagement of ICIMOD on renewable energy for the HKH has been somewhat contentious given the level of investment in smaller scale (aside from large scale hydro) in several RMCs. This was the subject of detailed discussion at the ICIMOD Board following the submission of a Project Briefing (not dated) post completion of a Feasibility Study (2016?) which had been funded by ADA. Focus is on providing coherent advocacy for SDG7 (access to affordable and clean energy), SDG9 industry, innovation, and infrastructure and SDG13 Climate Action.
- For ICIMOD the REEECH would build on ICIMOD’s strengths as a knowledge organization focused on mountain areas in the HKH. It would be looking to work in the policy arena, regulatory framework and standards as well as strengthening regional cooperation. It would have to build capacity and be involved in investment, innovation, and entrepreneurship.
- REEECH has been delayed partly due to administrative, recruitment and Covid-19. It has developed a Theory of Change examining REEECH context, assumptions,

---

108 S. Adhhikiri et al. Interlinkages Between Multidimensional Poverty and Electricity A study using the global Multidimensional Poverty Index (MPI). [https://ophi.org.uk/wp-content/uploads/Alkire\\_et\\_al\\_2021\\_Interlinkages.pdf](https://ophi.org.uk/wp-content/uploads/Alkire_et_al_2021_Interlinkages.pdf)

109 <http://servir.icimod.org/> From the website ‘SERVIR connects space to village by helping developing countries use satellite data to address challenges in food security, water resources, weather and climate, land use, and natural disasters. A partnership of National Aeronautics and Space Administration (NASA), United States Agency for International Development (USAID), and leading technical organizations, SERVIR develops innovative solutions to improve livelihoods and foster self-reliance in Asia, Africa, and the Americas.’

<sup>110</sup> This work led to a NASA / Servir Collaboration award in 2017 for work on M&E>

<sup>111</sup> Note that SAARC does have an Energy Centre: <https://www.saarcenergy.org/>

Sphere of influence and Sphere of Interest. It has developed 4 separate pathways for its work.

- In July the QQR team asked the REEECH team for a status report on the outputs that were mentioned in the December 2020 report to UKFCDO and in the December 2020 report to UNIDO (note these are different in form and level of detail which may pose a burden on the team). **A single report for funding agencies should be explored.** This table is in Appendix 1.
- **Energy is seen as a key element in Section 3 of the HKH CtA.** This is a complex topic and one that each of the 8 RMCs will be addressing in their own way based on resources available (solar, wind, hydro, biogas...), geography and status of current infrastructure e.g., extent of national grid as well as the ability of households, communities, and businesses to pay for, and utilize appropriate forms of 'reliable, renewable, sustainable, and clean energy'. The balance between regional learning on approaches to mountain energy and national implementation strategies will be important to achieve – but no different in many ways from the work on Brick Kilns or Tourism. The absence of a strong Regional Economic Community (REC) that could be involved in setting standards for regional markets will need to be considered carefully. However, with some RMCs taking a global lead in certain areas of renewable energy adapting emerging standards for mountain areas should be possible.
- **Starting a programme as complex as REEECH, and outside the main-stream of ICIMOD's work during Covid-19 has caused a number of delays.** These delays are of concern, not in themselves, but because the reasons for delay and the consequences are not perhaps as well communicated to the funding agency / partners as they would like. When working in new partnerships regular communication to establish norms on reporting, standards etc is vital. The establishment of the Steering Committee is an important first step in wider communication, planning and communication of results.
- The current logical framework for REEECH proposes several important regional baselines which could contribute to a wider understanding of the challenges of modern energy service provision in the HKH. The focus of REEECH on micro, small and medium sized enterprises (MSMEs) is important given the limited access to reliable, affordable and sufficient modern energy services in the mountains.

## Conclusion

ICIMOD is a strong, but neutral, regional intergovernmental organisation that made it attractive to UNIDO to establish a specialist GN-SEC. The innovative (for GN-SEC) approach that ICIMOD has taken i.e., an initiative in a regional organisation rather than stand-alone, and with a specific focus on mountain communities still needs to be 'bedded-in'. Covid-19 has slowed down the process of establishing the REEECH and operationalising phase 1. The current reporting to FCDO / UNIDO is not harmonised and it would be helpful for the small current team within REEECH for this to happen. A single results framework and single reporting (including financial) would reduce the administrative burden. It may be helpful to have regular funding agency meetings with ICIMOD management so that the working relationship can be more clearly established, and expectations on all sides clearly laid out. Completing the planned baselines and other studies – including a good systematic review of access to energy in mountain communities (including households, communities, businesses, and social infrastructure) will be important in ensuring that REEECH becomes a viable hub.

REEECH has potential and the currently identified intervention areas (knowledge management, communication, capacity building, policy advice and implementation) are aligned with ICIMOD's core functions. However, and this may be partly due to remote working as a result of Covid-19, it does need to consider how it can be further embedded into ICIMOD

and provide a range of sharing learning products – including key baseline data and monitoring approaches. Some of the work proposed for REEECH expands ICIMOD’s work into the private sector and possible product development processes. This could include the preparation of investment proposals (for government and/or private sector implementation with ICIMOD ‘back-stopping’ for relevant climate / bilateral /government financing (possibly at sub-national as well as national). Developing approaches to generating evidence on access to modern energy services and links with poverty and SDG fulfilment will be a vital part of the work of REEECH<sup>112</sup> and perhaps create a strong link with other work on regional monitoring in ICIMOD. Access to energy in mountain communities is critical for achieving the 9 mountain priority SDGs so finding a way of working for the REEECH that is true to the GN-SEC idea but is operationalised in ICIMOD within the reality of the HKH RMCs is vital.

---

<sup>112</sup> S. Adhikiri *et al* Interlinkages Between Multidimensional Poverty and Electricity A study using the global Multidimensional Poverty Index (MPI). [https://ophi.org.uk/wp-content/uploads/Alkire\\_et\\_al\\_2021\\_Interlinkages.pdf](https://ophi.org.uk/wp-content/uploads/Alkire_et_al_2021_Interlinkages.pdf)

**Appendix 1: Status of REEECH deliverables (received by QQR team 16 July 2021)**

Output / report mentioned	Original delivery	Current Status	Link if on website	Reasons for Delay
From UKFCDO Report				
<b>(1) Systematic Review Report</b>	Draft submitted - June 2020, Finalized on December 2020	Final stages of production.		It had to be thoroughly reviewed from various lenses and revised.
<b>(2) Nepal Hub Inception Study Report</b>	Draft submitted in August 2020, Finalized on Nov 2020	Final stages of production.		
<b>(3) Strategy Document to build Sustainable Energy ecosystems in Nepal</b>	Draft submitted in December 2020	Produced	<a href="https://lib.icimod.org/record/35195">https://lib.icimod.org/record/35195</a>	
<b>(4) Feasibility Analysis Report by SELCO</b>	May 2021- draft, Final received on 29 June 2021	Final stages of production		
<b>(5) Environment and Social Safeguards framework</b>	The concept for developing ESS framework was presented in July 2020	In the pipeline		The lead official got contracted with COVID and had to take parental leave. It entails literature review and consultation with RMCs capture prevailing country specific safeguards, the progress has been slow
<b>(6) Draft investment framework.</b>	November 2020	In the pipeline		Based on the findings from this concept, A generic financial Rol framework that incorporates ESG standards of MSMEs is under development
<b>(7) Report on green jobs</b>	August 2020	In the pipeline.		The consultant, who was hired to deliver this output, has contracted by Covid-19. Despite providing no cost time extension to complete the assignment, he turned down

Output / report mentioned	Original delivery	Current Status	Link if on website	Reasons for Delay
				regretting his inability to deliver the result due to health reasons. We are pursuing with another consultant
<b>From reports to UNIDO</b>				
Green Jobs study	<i>This document is the green jobs report reported under FCDO and not under UNIDO</i>			
<b>(8) Energy Profiles for the 8 RMCs</b>	January 2021	Final stages of production		The delay was mainly due to slow response from regional member countries, where the contents of Energy Profile have been shared to validate for publication. The validation in some countries also requires consultation with other agencies within the country as many agencies are involved in dealing with different aspects of the energy statistics.
<b>(9) Standards and certification frameworks (Preliminary Report)</b>	December 2020	Decided not to publish as it requires further research.		There is no delay. Based this preliminary finding, it is decided to carry further research considering the importance of this activity for the HKH region.
<b>(10) Policy landscape Study Report</b>	December 2020	In the pipeline		This Policy Landscape Study was delayed due to delay in recruitment of energy specialist. However, existing policies have been complied for analysis. .
Renewable energy and resilient enterprise development in HKH	<i>This is the systematic review paper mentioned in UK FCDO</i>			
<b>(11) Renewable energy for enterprise development in the HKH</b>	August 2020	Final stage of production		This report was prepared in partnership with International Renewable Energy Agency (IRENA). The delay was partly due to internal

Output / report mentioned	Original delivery	Current Status	Link if on website	Reasons for Delay
				reviews that took some time and concurrence required from IRENA.
<b>(12) Financial Landscape for renewable energy in Nepal</b>	January 2021	under review		Since financial landscape was prepared based on interviews and information provided by the informants, it had to go through several round of revision and refinement.
Developing SDG 7 Ecosystem for local communities in Nepal	<i>This document is the Strategy document mentioned in UK FCDO</i>			
<b>(13) Viability assessment Report</b> on decentralized renewable energy solutions for the food value chains in the HKH Region	23 March 2021		Under review	Report has been finalized by ICIMOD, IRENA and SELCO. The discussion underway with IRENA for joint publication.
(Inception report for Nepal Communitere – I have already).		We are currently focusing on developing the knowledge products of relevance. After this, we would be putting up for reviews		
Any planned peer reviewed / open access papers and their status.				



## Case 3: The Dasgupta Review and Influence of SANDEE

### The Economics of Biodiversity: The Dasgupta Review<sup>113</sup> and the South Asian Network for Development and Environmental Economics (SANDEE)<sup>114</sup>

The South Asian Network for Development and Environmental Economics (SANDEE) is a regional network that uses economic tools and analyses to address South Asia's environmental challenges. It works in seven countries in South Asia - Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan, and Sri Lanka - was launched in November 1999, previously based at IUCN-the World Conservation Union, Nepal and is currently one of ICIMOD's initiatives under RP6 – Mountain Knowledge and Action Networks (MKAN).

On the 6<sup>th</sup> of July 2021 SANDEE hosted Sir Partha Dasgupta<sup>115</sup> to present the keynote address to the 41<sup>st</sup> biannual research and training workshop. The keynote was attended (on-line) by over 200 participants. Professor. Dasgupta is a co-founder of the South Asian Network for Development and Environmental Economics (SANDEE) along with the late professor Karl-Goran Maler. In the introduction to the keynote address it quickly became clear the contribution of SANDEE had made to Professor Dasgupta's thinking and work over the years. This is further acknowledged in the review itself with SANDEE being explicitly acknowledged in the preface:

'That was made possible [developing networks outside Europe] by a grant from the MacArthur Foundation, Chicago. It enabled Måler and me in 1999 to establish the South Asian Network for Development and Environmental Economics (SANDEE) and simultaneously the journal Environment and Development Economics (Cambridge University Press). Our idea was to offer not only encouragement, but also financial help and a journal based in the West where university teachers of economics in developing countries could publish their research findings. 'The location of SANDEE at ICIMOD is noted in an associated footnote.

SANDEE is credited with being one of the institutions that 'have laid the groundwork for the economics of biodiversity'.<sup>116</sup> Professor Dasgupta also recognised that SANDEE (and other regional networks) through their teaching and research helped to develop 'the interface of poverty and the local natural capital base'. The work of SANDEE is also recognised for its contribution to the Millennium Ecosystem Assessment published in 2005.<sup>117</sup>

From a recent (not dated) 'flyer' for SANDEE the three areas of work are:

**Supporting Innovative Research:** 200+ research grants and 300+ leading experts in the network

**Building Expertise in the Region:** 1500+ trainees, 50+ courses conducted and 38+ research and training workshops

**Putting Research to Use:** targeted research for key stakeholders 125+ working papers; 100\_ policy briefs, 200+ peer-reviewed journal articles and book chapters.

---

<sup>113</sup><https://www.gov.uk/government/publications/final-report-the-economics-of-biodiversity-the-dasgupta-review>

<sup>114</sup> <https://www.icimod.org/initiative/sandee/>

<sup>115</sup> [https://www.icimod.org/wp-content/uploads/2021/06/3577g\\_20210610\\_Flyer\\_KeynoteDasgupta.pdf](https://www.icimod.org/wp-content/uploads/2021/06/3577g_20210610_Flyer_KeynoteDasgupta.pdf)

<sup>116</sup> See Footnote 48 on page 46 of the Dasgupta Review

<sup>117</sup> <https://www.millenniumassessment.org/en/index.html>

During the period 2003 to date SANDEE has published 3 volumes of 63 papers with the latest volume due in 2021. This is *Climate Change and Community Resilience: Insights from South Asia*. *Editors: A K Enamul Haque; Pranab Mukhopadhyay; Mani Nepal and Md Rumi Shammin*. The network has also produced around 191 peer reviewed journal articles during this period.<sup>118</sup> In the past SANDEE used to produce a wide range of working papers. However due to challenges in the academic publishing business they stopped this as some journals did not wish to publish articles that had already been published as working papers.

## Key Lessons from SANDEE

1. High quality networks led by committed researchers can enable new ideas to be developed, based on local 'lived' contexts i.e., the strong linkage between poverty and management of natural capital.
2. Opportunities for sharing within the region (biannual workshops) and beyond (well-regarded international journals) are important. The cross-linkage feeds increased credibility for new ideas and evidence.
3. It takes time for innovative thinking in any field to be taken up more widely and, perhaps, to influence, policies, ways of measurement (beyond GDP for instance) and future implementation.
4. The breadth of topics covered by SANDEE highlights the diversity of the sectors to which robust work on development and environmental economics can be applied.
5. Networks are increasingly possible to operate even with Covid-19 as technology can aid engagement. Whilst face to face training and sharing is important finding new modalities that aid regular engagement with a low carbon (and financial) footprint will be vital.
6. Publication in international peer reviewed journals in a time when the use of large-scale Systematic Literature reviews e.g., IPCC, IPBES and not least the Dasgupta Review<sup>119</sup> can also increase visibility and, more importantly, validate the research for both regional and global audiences. This may, over time, enable relevant ideas to gain traction within policy processes and with decision makers.
7. Lessons from SANDEE and others around Open-Source Publishing should be carefully considered. The principle of 'Open Source' is good but a recent publication in Nature highlights the challenges for scientists from developing countries – especially where there is a need to pay for this type of publication.<sup>120</sup>
8. **For new research** ICIMOD, and SANDEE / HUC, consideration should be given to whether ICIMOD can develop its own high quality peer reviewed Working Paper Series on issues of common concern for the HKH may be something worth exploring further.<sup>121</sup> This could also include possible 'pre-print' papers.

---

<sup>118</sup> List is with the QQR team.

<sup>119</sup> See Nature editorial 13 July 2021 'Does the fight against hunger need its own IPCC?' ([https://www.nature.com/articles/d41586-021-01904-0?WT.ec\\_id=NATURE-20210715&utm\\_source=nature\\_etoc&utm\\_medium=email&utm\\_campaign=20210715&sap-outbound-id=39D20183918FB8CDB88B0BD295D20F5AD1EEB067](https://www.nature.com/articles/d41586-021-01904-0?WT.ec_id=NATURE-20210715&utm_source=nature_etoc&utm_medium=email&utm_campaign=20210715&sap-outbound-id=39D20183918FB8CDB88B0BD295D20F5AD1EEB067)) Is this an opportunity for ICIMOD / SANDEE to consider a volume of work on Mountains and Food Security which builds on Chapter 9 of the HKH-Assessment (co-edited by Golam Rasul) and which would link with the Call to Actions Urgent Action Number 4 and Mountain Priority 4 to promote sustainable production systems for achieving the SDGs in the HKH?

<sup>120</sup> <https://www.scidev.net/global/features/open-access-excludes-developing-world-scientists/>

<sup>121</sup> See for instance the **high quality** London School of Economics / Grantham Institute working paper series <https://www.lse.ac.uk/social-policy/research/working-paper-series> and <https://www.lse.ac.uk/granthaminstitute/publication-type/working-papers/>

9. **For existing published research (ICIMOD and more broadly):** Synthesis reviews (of all types) to which the key papers that are used for the synthesis are linked (ideally not behind paywalls) to inform the development of future research questions and studies.
10. **For workshop reports:** consider newer approaches to reporting workshops on-line to avoid lengthy publication processes associated with formal published proceedings.<sup>122</sup>

FINAL

---

<sup>122</sup> See for instance the January 2021 Mountain Biodiversity Day workshop (which ICIMOD was involved in): [https://padlet.com/Alpine\\_Convention/MountainBiodiversityDay](https://padlet.com/Alpine_Convention/MountainBiodiversityDay)

## Case 4: Impact Monitoring, Scaling<sup>123</sup> and Policy Influence

### Introduction

Perhaps due to Covid-19 there has been several articles recently concerning issues of evidence-based policy<sup>124</sup>, rules for evidence communication<sup>125</sup>, brokerage at the science-policy interface<sup>126</sup>, evidence impact claims<sup>127</sup> and understanding real-world complexities for uptake of evaluation findings<sup>128</sup> (applicable to research findings as well). When ICIMOD is considering how to achieve impacts as an Intergovernmental Organisation it needs to carefully address how evidence is used to inform policy, how to communicate and how to substantiate evidence impact claims when, unfortunately, ICIMOD work is not directly referenced. These are complex issues and need to be more carefully considered given the diverse and complex policy / decision making landscape in which ICIMOD operates.

Before progressing further the QQR team recognises that not all of ICIMOD's work requires 'scaling' of any type. Some of the work e.g. Capacity Building and design of systems to monitor the Cryosphere need to be 'sustained' within and by the RMCs who are involved in the process. Whilst an element of 'scaling' may be required from an initial site the main remit will be to sustain processes, capacity, ability to monitor and share data for decision making over time. In other areas of ICIMOD's work however, the benefits of initial pilot scale 'testing of an innovation' be it process, value chain, management / governance etc needs to be moved to 'scale' to be effective within an RMCs and perhaps in several RMCs (adapted to the local context). In some cases policy work is required to facilitate this but in other case it is investment (public and private sector), capacity building and the wider enabling infrastructure that needs to be in place. ICIMOD is not a development programme implementation organisation (although it may cooperate with major implementing agencies e.g. IFAD<sup>129</sup>) and this poses challenges for ICIMOD to provide evidence for investment by RMCs and, where appropriate, their development partners. This may be, in the future, a part of the ICIMOD Knowledge Service which agencies implementing adaptation programmes funded by the Green Climate Fund through 'vertically integrated' accredited agencies including UNDP / FAO.

---

<sup>123</sup> See Dhruvad Choudry How can ICIMOD's scaling efforts be strengthened further? Note shared with the QQR team.

<sup>124</sup> Naomi Eisenstadt (2020) Evidence-based policy and other myths. What researchers need to know to influence government. <https://blogs.lse.ac.uk/impactofsocialsciences/2020/09/22/evidence-based-policy-and-other-myths-what-researchers-need-to-know-to-influence-government/>; Kathryn Oliver & Paul Cairney (2019) The dos and don'ts of influencing policy: a systematic review of advice to academics. *Nature* <https://www.nature.com/articles/s41599-019-0232-y>;

<sup>125</sup> Michael Blastland *et al* (2020) Five rules for evidence communication. A comment published in *Nature* 587 362-364

<sup>126</sup> Peter D. Gluckman *et al* (2021) Brokerage at the science-policy interface: from a conceptual framework to practical guidance. *Nature*

<sup>127</sup> Kirthi Rao & Paul Thissen (2021). Evidence impact: Claiming the influence of studies with confidence. 3ie International Initiative for Impact Evaluation. <https://www.3ieimpact.org/blogs/evidence-impact-claiming-influence-studies-confidence>

<sup>128</sup> Michael Bamberger (2021) Understanding real-world complexities for greater uptake of evaluation findings. 3ie International Initiative for Impact Evaluation <https://www.3ieimpact.org/blogs/understanding-real-world-complexities-greater-uptake-evaluation-findings>

<sup>129</sup> See recent work on shifting cultivation that has produced a range of policy briefs, a webinar and related documentation. <https://www.icimod.org/webinar/shifting-cultivation/>

## ICIMOD Impact, Innovation and Scale up

ICIMOD is often challenged about its ‘impact’. As indicated in the inception report the IOD PARC QQR team considers that there are two forms of impact that are, within the current context of a Knowledge Hub (as in SRF 2017), interlinked. These are the academic impacts e.g. papers published, quality, citations etc and then the Policy impact (See Box A16.2 below for the working definitions). The latter can be informed by the former, but it is often achieved through a much wider process of influence and, in development, the implementation of the policy or regulation. A good example of the mixed impact approach is the HKH-Assessment which used a rigorous systematic literature approach assessing the available evidence across many domains applicable to the HKH. The process post completion then linked this academic publication with a long-term Policy process which has, to date, culminated in the 2020 HKH Call to Action Ministerial Declaration.

The second way of examining impacts is to look at issues of form and time. Table 16.2 below highlights that ICIMOD has at least 5 different (but sometimes overlapping) impact types but that these may take place over different timescale and be under varying levels of control by ICIMOD.

## Scaling up / out Innovation

In a recent document on Scaling by ICIMOD<sup>130</sup> the use of horizontal and vertical scaling is laid out (Figure 1). There are interesting examples of scale-up and scale-out within the document which highlights the interlinkages within ICIMOD regional programmes. Whilst time and opportunity are critical issues these are not discussed explicitly. What does the **time frame for scale up** and the increasing need to leverage partners ability to influence (beyond ICIMOD) perhaps mean for the future work in ICIMOD to scale-up and out of successful innovations. ICIMOD has been involved in REDD+ work for 15 years before traction at the policy level. Impacts of the changes in complex social-economic systems may take an extended period to be seen – especially when there are significant political changes within the RMCs. For comparison Table 16.2 presents the ‘time to market’ I for **single products** in a range of industries. This highlights that the type of interventions proposed by ICIMOD i.e., into an existing system are not, even if the pilots are successful, likely to be taken up quickly – especially if they require policy / regulatory change or changes in social practices e.g., land rights to enable successful scale-up. It is possible that, within social-economic development the achievement of large-scale impacts is often expected too quickly. This is even more so when attempting to reach remote, poor, marginalised communities who have a range of barriers to sustainable development.

### Innovation and Scale up: Lessons for MTAPV?

The innovative work that ICIMOD undertakes (often Type 1 and 2 in Table 16.1) when proven successful in the initial pilot work may be appropriate to consider moving to scale.<sup>131</sup> Key lessons for MTAPV include:

1. **Ensuring high quality evidence for ‘proof of concept’** that is clear on the likely beneficiaries (based on location of pilot scheme) including geographical and social-economic attributes. This should be subject to independent review not only academic publication to ensure that the scale of the ‘proof’ is suitable to inform scale up by ensuring it addresses:
  - A range of contexts (geographical / social / cultural / economic)

---

<sup>130</sup> Dhruvad Choudhury (2021 but not published). Scaling stories of ICIMOD’s innovation: Lessons learnt and the way forward.

<sup>131</sup> Note not all innovations do go to scale and as the Choudhury Scaling report indicates there may be innovations from past ICIMOD work which need to be screened for possible explicit scale-up work during MTAPV if of interest to RMCs and contributing to the CtA priorities.

- A pilot of sufficient size to ensure data coherence (qualitative and quantitative)
  - That the levels of support required to implement and manage over the long term are clearly identified
  - That participants, partners and other stakeholders have been actively engaged and validate the results of the pilot;
2. **Clarity on the necessary policy / regulatory changes** that may be required (if applicable);
  3. **Clarity on the on-going support that would be necessary for implementation** – especially if working with more marginalized communities.
  4. **Time frame concerning the process** and how this can be taken forward (who, how, where, when...) and what resources will be required. This can include RMCs, sub-national authorities, and wider partners as appropriate to each RMC and the operational context / innovation.
  5. **Staffing:** If funding for scale out work is from core (as opposed to a specific programmatic work), need to be nimble using existing staff. Cannot be ‘fully committed’ at the start of a year as may need to be able to take opportunities as they are presented. This can be combined with appropriate hire of specialists.
  6. **Scale up / out funding options?** If scale-up/out was not included in the original programme, then consider **how to ‘actively’ fund the work on scale-up / out either from programmatic funding or from Core.**
  7. **Policy / decision making landscape** – is it well understood for the context? Significant differences in the 8 RMCs (and at sub-national level) on how evidence is validated and used
  8. **That there is clarity around the influencing process and the necessary partners** lead / participate in this with the appropriate RMC ministry / sub-national government.

#### Box A16.2: Differentiating Academic and Policy

**Academic impact** is the influence that research has within the academic community. This impact can be demonstrated, for example, by shifting old dogmas or by contributing to the understanding of new theories that lead to the application of new knowledge across and within disciplines. Two common types of metrics are per-author and/or per-journal citation counts.

**Policy impact** is the demonstrable contribution that research makes to society and the economy by benefiting its individuals, environment, organisations or nations. This impact can support technological progress, personal skill development, policy regulations, understanding of ethical issues and more. The definition of policy impact according to the 2014 Research Excellence Framework (REF2014) is “any effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia”.

**Table A16.1: Types and form of ICIMOD impacts (not exhaustive)**

<b>Impact Type</b>	<b>Description</b>	<b>Time Frame</b>	<b>Country / Transboundary / Regional</b>	<b>ICIMOD level of control</b>	<b>Some Examples</b>
<b>Type 1</b>	Localised from pilot initiatives and, successful scale up / out;	Pilot within 1-3 years Scale up: variable	Often local / one country	Initially high level of control then with RMCs / Partners	Haa Tourism Bhutan Dhankuta Watershed,

Impact Type	Description	Time Frame	Country / Transboundary / Regional	ICIMOD level of control	Some Examples
					Nepal, IBI Pakistan Bird Photo Tourism
<b>Type 2</b>	Distributed from pilot initiatives and, successful scale up / out.	Pilot -1-5 years	Usually country but with addressing regional issues	High initially but implementation depends on partners	Brick Kilns Springsheds, CBFEWS Value Chain development Tourism & Land Use Change (Pakistan)
<b>Type 3</b>	Scientific and social/economic data gathering and synthesis for use for future policy, planning and reporting by RMCs, regional and global agreements;	Long term process with key publications	Can relate to all levels.	High level of control of synthesis work. Utilisation process requires management by ICIMOD with RMCs / partners.	HKH-A; Ecosystem Services in HKH. Yak systematic review SANDEE and Dasgupta Review
<b>Type 4</b>	With and through RMC and/or partner engagement and ability to foster long term impact pathways.	Long term engagement	Country focus but can be linked with transboundary work	Quality of relationship with RMC and/or lead partners critical. ICIMOD may not always lead.	REDD+ policy Nepal; Transboundary / landscape focus. Regional Database SERVIR
<b>Type 5</b>	Capacity Building Process to embed long term (often technical) training	2+ years with follow-up as technology changes	Country / Regional with focus on areas of common concern	High initially and through partners / network ongoing	SWaRMA Geospatial training

**Table A16.2: Time to Market for different industries** <https://www.tcgen.com/time-to-market>

Industry	Time to Scale
Energy	7-23
Aerospace & Defense	3-22
Healthcare & Pharma	9-19
Industrials	3-7
Automobile	3-5
Consumer Goods	1-5
Technology	0.5-5

# Annex 17: Bibliography

## ICIMOD Documentation

Note that ICIMOD shared extensive documentation with the QQR team for which we are extremely grateful. We formally reference key documents that are cited in the QQR document

Bairacharya, B., Thapa, R.B. & M.A Martin (2021) Earth observation science and applications for risk reduction and enhanced resilience in Hindu Kush Himalaya region: A decade of experience from SERVIR Springer (Open Access <https://lib.icimod.org/record/35312>)

Community of Evaluators Pakistan (2019). Baseline Survey of the Brick Kilns of Pakistan.

Choudhury, D. (2021 but not published), Scaling stories of ICIMOD's innovation: Lessons learnt and the way forward.

Dhrupad Choudry (2021) How can ICIMOD's scaling efforts be strengthened further? Note shared with the QQR team.

ICIMOD (2012), Revised Statutes: Revised November 2012

ICIMOD (2013), Data Sharing Policy 2013

ICIMOD (2013), Mid-Term Review of the ICIMOD Strategic Framework 2007 and Medium-Term Action Plan 2008-2012

ICIMOD (2013), Partnership Strategy 2013

ICIMOD (2014), Flood Early Warning Systems in Nepal; A Gendered Perspective - ICIMOD Working Paper 2014/4

ICIMOD. 2014. [Flood Early Warning Systems in Nepal; A Gendered Perspective - ICIMOD Working Paper 2014/4](#)

ICIMOD (2014), Knowledge Management and Communication Strategy 2014

ICIMOD Poverty and Vulnerability Assessment work

<https://www.icimod.org/initiative/poverty-and-vulnerability-assessment-pva/>; Gerlitz, J.-Y. et al. Poverty and vulnerability assessment – A survey instrument for the Hindu Kush Himalayas. (2014) <http://lib.icimod.org/record/29972>

ICIMOD (2015), Publications Policy

ICIMOD (2017), Strategy and Results Framework

ICIMOD 2017), Partnership Manual

ICIMOD MTAPIV 2018 - 2022

ICIMOD (2018), Partnership Survey Report

ICIMOD (2019), Monitoring, Evaluation and Learning: Guidelines and Tools

ICIMOD (2019), Towards An Environmentally Just and Socially Equitable Brick Industry in South Asia

ICIMOD (2020) Consolidated Partners List and Contact Details

ICIMOD 2020. [Gender and Social Inclusion in Natural Resource Planning](#)

ICIMOD. 2020. Working with the Community on Cryosphere Monitoring

ICIMOD (2020), Annual Progress Report Highlights

ICIMOD (2020), Annual Progress Reports 2020 for Regional Programmes I-IV



ICIMOD (2020), Country Partnership Reports – Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal, Pakistan

ICIMOD (2020) The HKH Call to Action to sustain mountain environments and improve livelihoods in the Hindu Kush

ICIMOD (2020), Gender and Equity Policy 2020

ICIMOD (2020), Gender and Social Inclusion in Natural Resource Planning

ICIMOD (2020), Ministerial Declaration on the HKH Call to Action, 15 October 2020

ICIMOD (2020), The HKH Call to Action to sustain mountain environments and improve livelihoods in the Hindu Kush Himalaya

ICIMOD (2020), Working with the Community on Cryosphere Monitoring

ICIMOD (2020) Consolidated Partners List and Contact Details

ICIMOD.2020. COVID-19 impact and policy responses in the Hindu Kush Himalaya. International Centre for Integrated Mountain Development

ICIMOD. Annual Progress Report Highlights 2020

ICIMOD (2021), Gender Audit

ICIMOD (undated), Regional Program Partnerships at a Glance (RP1 – RP 6)

ICIMOD, First Meeting of the HKH High-Level Task Force: [First meeting of the HKH High-Level Task Force - ICIMOD](#)

ICIMOD, HKH2Glasgow: Hindu Kush Himalaya countries to raise a unified voice for mountains at COP26: [HKH2Glasgow: Hindu Kush Himalaya countries to raise a unified voice for mountains at COP26 - ICIMOD](#)

Kotru, R. et al (2020), Beyond boundaries: Contouring transboundary landscapes in the Hindu Kush Himalaya, ICIMOD

Rasul, Golam, Karki Nepal A. 2021. Poverty in the Hindu Kush Himalayan Region: Assessment of Status, Drivers, Policies and Responses, International Centre for Integrated Mountain Development, Kathmandu, Nepal

SANDEE: SANDEE- ICIMOD (2021), Lecture Series 2021 Flyer

Sandee Initiative: <https://www.icimod.org/initiative/sandee/>

SERVIR: <http://servir.icimod.org/>

Sharma, P, et al (2021). Human-Wildlife conflict in the roof of the world: Understanding multidimensional perspectives through a systematic review. *Ecology and Evolution*. 2021;00:1–18 DOI: 10.1002/ece3.7980

Wester, P. et al (eds) (2019), The Hindu Kush Himalaya Assessment—Mountains, Climate Change, Sustainability and People Springer Nature Switzerland AG, Cham.

### Wider documentation and websites

3ie for development impacts - <https://www.3ieimpact.org/> / Evidence impact: Claiming the influence of studies with confidence: [https://www.3ieimpact.org/blogs/evidence-impact-claiming-influence-studies-confidence?utm\\_source=Subscribe+to+3ie&utm\\_campaign=2cbe620310-EMAIL\\_CAMPAIGN\\_EUIblg&utm\\_medium=email&utm\\_term=0\\_58acc0a9f7-2cbe620310-305167529&ct=t\(EMAIL\\_CAMPAIGN\\_EUIblg\)&mc\\_cid=2cbe620310&mc\\_eid=a5a7a1909a](https://www.3ieimpact.org/blogs/evidence-impact-claiming-influence-studies-confidence?utm_source=Subscribe+to+3ie&utm_campaign=2cbe620310-EMAIL_CAMPAIGN_EUIblg&utm_medium=email&utm_term=0_58acc0a9f7-2cbe620310-305167529&ct=t(EMAIL_CAMPAIGN_EUIblg)&mc_cid=2cbe620310&mc_eid=a5a7a1909a)

Adhhikiri, S. et al Interlinkages Between Multidimensional Poverty and Electricity A study using the global Multidimensional Poverty Index (MPI). [https://ophi.org.uk/wp-content/uploads/Alkire\\_et\\_al\\_2021\\_Interlinkages.pdf](https://ophi.org.uk/wp-content/uploads/Alkire_et_al_2021_Interlinkages.pdf)

Bamberger, M. (2021) Understanding real-world complexities for greater uptake of evaluation findings. 3ie International Initiative for Impact Evaluation <https://www.3ieimpact.org/blogs/understanding-real-world-complexities-greater-uptake-evaluation-findings>

BBC (2021), Climate change: World's glaciers melting at a faster pace <https://www.bbc.co.uk/news/science-environment-56921164>

Blastland, M. et al. (2020) Five rules for evidence communication. A comment published in *Nature* 587 362-364

Campbell Collaboration: <https://www.campbellcollaboration.org/>

Centre for the Study of Existential Risk (2021) Pathways to Linking Science and Policy in the Field of Global Risk [https://www.cser.ac.uk/media/uploads/files/UCA763\\_report\\_for\\_CSER\\_engagements\\_v06\\_AW\\_WEBSITE\\_DOWNLOAD.pdf](https://www.cser.ac.uk/media/uploads/files/UCA763_report_for_CSER_engagements_v06_AW_WEBSITE_DOWNLOAD.pdf)

Cochrane Collaboration: <https://www.cochranelibrary.com/>

Community of Evaluators (2019), Baseline Survey of the Brick Kilns of Pakistan

Convention on Biological Diversity Aichi Targets: <https://www.cbd.int/doc/strategic-plan/2011-2020/Aichi-Targets-EN.pdf>

Dasgupta, P et al. (2021) The Economics of Biodiversity: The Dasgupta Review <https://www.gov.uk/government/publications/final-report-the-economics-of-biodiversity-the-dasgupta-review>

EFI Think Forest Seminar on Science / Policy: [https://efi.int/policysupport/thinkforest/role\\_of\\_science](https://efi.int/policysupport/thinkforest/role_of_science)

Eisenstadt, N. (2020), Evidence-based policy and other myths. What researchers need to know to influence government. <https://blogs.lse.ac.uk/impactofsocialsciences/2020/09/22/evidence-based-policy-and-other-myths-what-researchers-need-to-know-to-influence-government/>

European Commission Joint Research Centre: <https://ec.europa.eu/jrc/en> ;

FAO (2021), SDG Indicator Metadata, 12 February 2021

Gluckman, P.D. et al. (2021), Brokerage at the science-policy interface: from conceptual framework to practical guidance. *Humanities & Social Sciences Communications*. <https://www.nature.com/articles/s41599-021-00756-3>

Gough, D. et al. (2017), *An Introduction to Systematic Reviews* (2<sup>nd</sup> Edn). Sage.

Grantham Institute Working Papers: <https://www.lse.ac.uk/granthaminstitute/publication-type/working-papers/>

Hugounet et al. (2021) Accelerated global glacier mass loss in the early twenty-first century. *Nature* <https://www.nature.com/articles/s41586-021-03436-z>

INGSA Asia: <https://www.ingsa.org/chapters/ingsa-asia/>

IPCC (2019), Special Report on the Ocean and Cryosphere in a Changing Climate

IPCC Summary for Policy Makers: Physical Science Basis (2021) [https://www.ipcc.ch/report/ar6/wg1/downloads/report/IPCC\\_AR6\\_WGI\\_SPM.pdf](https://www.ipcc.ch/report/ar6/wg1/downloads/report/IPCC_AR6_WGI_SPM.pdf)

IWMI Gender and Inclusion Strategy 2020-2030

Joint Research Centre (2020), Science for Policy Handbook

Knowledge for Policy: [https://knowledge4policy.ec.europa.eu/evidence-informed-policy-making/topic/learning-development\\_en](https://knowledge4policy.ec.europa.eu/evidence-informed-policy-making/topic/learning-development_en);

Kirthi, R. & Thissen, P. (2021). Evidence impact: Claiming the influence of studies with confidence. 3ie International Initiative for Impact Evaluation.

<https://www.3ieimpact.org/blogs/evidence-impact-claiming-influence-studies-confidence>

Krishnan, R. et al (eds) (2020), Assessment of climate change over the Indian region: A report of the Ministry of Earth Sciences (MoES), Government of India

London School of Economics Department of Social Policy multidisciplinary Working Papers

<https://www.lse.ac.uk/social-policy/research/working-paper-series>

Midgley, M. (1989) *Wisdom, Information & Wonder. What is Knowledge For?* Routledge

Millennium Ecosystem Assessment (2005)

<https://www.millenniumassessment.org/en/index.html>

Mountain Biodiversity Day workshop January 2021

[https://padlet.com/Alpine\\_Convention/MountainBiodiversityDay](https://padlet.com/Alpine_Convention/MountainBiodiversityDay)

Nature editorial 13 July 2021 'Does the fight against hunger need its own IPCC?'

[https://www.nature.com/articles/d41586-021-01904-0?WT.ec\\_id=NATURE-20210715&utm\\_source=nature\\_etoc&utm\\_medium=email&utm\\_campaign=20210715&sap-outbound-id=39D20183918FB8CDB88B0BD295D20F5AD1EEB067](https://www.nature.com/articles/d41586-021-01904-0?WT.ec_id=NATURE-20210715&utm_source=nature_etoc&utm_medium=email&utm_campaign=20210715&sap-outbound-id=39D20183918FB8CDB88B0BD295D20F5AD1EEB067)

Note from the Collaboration on Environmental Evidence

<https://environmentalevidence.org/information-for-authors/2-need-for-evidence-synthesis-type-and-review-team/>

Oliver, Kathryn & Paul Cairney (2019), The dos and don'ts of influencing policy: a systematic review of advice to academics. Nature <https://www.nature.com/articles/s41599-019-0232-y>

Open Source Book on Science for Policy:

<https://www.sciencedirect.com/book/9780128225967/science-for-policy-handbook>

Ecosystems of science for policy: [https://knowledge4policy.ec.europa.eu/evidence-informed-policy-making/topic/science-policy-ecosystems\\_en](https://knowledge4policy.ec.europa.eu/evidence-informed-policy-making/topic/science-policy-ecosystems_en)

Rao Kirthi & Paul Thissen (2021). Evidence impact: Claiming the influence of studies with confidence. 3ie International Initiative for Impact Evaluation.

<https://www.3ieimpact.org/blogs/evidence-impact-claiming-influence-studies-confidence>

Resurrección, Bernadette P. *et al.* (2019). "In the Shadows of the Himalayan Mountains: Persistent Gender and Social Exclusion in Development", Chapter 14 in P. Wester, A.

Mishra, A. Mukherji, A. B. Shrestha (eds) (2019) *The Hindu Kush Himalaya Assessment—Mountains, Climate Change, Sustainability and People*. Springer Nature Switzerland AG, Cham.

SAARC Energy Centre: [SAARC Energy Centre \(SEC\), Islamabad | Learn, share, improve and grow together](#)

SciDev (2021), on issue of open-source publication

<https://www.scidev.net/global/features/open-access-excludes-developing-world-scientists/>

Sustainable Development Goals

<https://sustainabledevelopment.un.org/content/documents/21252030%20Agenda%20for%20Sustainable%20Development%20web.pdf> /

<https://unstats.un.org/sdgs/metadata/files/Metadata-15-04-02.pdf>

Tatsuya Amano *et al* (2021) Team tips for overcoming language barriers in science. *Nature Human Behaviour*.

[https://www.nature.com/articles/s41562-021-01137-1.epdf?sharing\\_token=fuy1T7qZ4MeUc2IOExaKwdRqN0jAjWel9jnR3ZoTv0OR4J0u4q6gA](https://www.nature.com/articles/s41562-021-01137-1.epdf?sharing_token=fuy1T7qZ4MeUc2IOExaKwdRqN0jAjWel9jnR3ZoTv0OR4J0u4q6gA)

[mV\\_weMB193cRe1O6ML7bACNd5R0YOUtg-TtzirVL6bs8WiUeS13AY\\_6iXhMfOJUjM\\_x5ejoRiPeFI\\_qnUkW5b3xee9erqXYR-KbOGKWN-6rcGo7NS3jVAE%3D](https://www.unep.org/civil-society-engagement/major-groups-modalities/major-group-categories)

The Collaboration for Environmental Evidence: <https://environmentalevidence.org/>

UNCED (1992) Chapter 13 – Managing fragile ecosystems: Sustainable Mountain Development. Agenda 21: Earth's Action Plan. United Nations Conference on Environment & Development Rio de Janeiro, Brazil, 3 to 14 June 1992

<https://sustainabledevelopment.un.org/content/documents/Agenda21.pdf>

UN Major Groups: <https://www.unep.org/civil-society-engagement/major-groups-modalities/major-group-categories>

UNIDO, Global Network of Regional Sustainable Energy Centres: [Global Network of Regional Sustainable Energy Centres | UNIDO](#)

FEMANA

# Annex 18: ToRs for QQR and any modifications agreed.

## Terms of Reference as per proposal stage



20210122\_ToR\_ICIM  
OD6thQQR\_Final\_u

## Post Proposal amendments to the Terms of Reference

- 4. Changed date of QQR Submission.** Due to rescheduling of the Board of Governors / ISG meetings to the first week of September in China the QQR team were asked to prepare their report for that meeting. This shortens the review period but has the advantage that the acceptance of the report by the BOG (if agreed) in September can enable ICIMOD to use the recommendations to prepare the next Medium Term Action Plan and Strategic Results Framework for approval mid-2022. This then helps ICIMOD to prepare for implementation from 2023 onwards.  
**This was discussed at the ISG QQR meeting held on 280421 and IOD PARC submitted a revised workplan in line with the dates that ICIMOD included in the contract. The workplan (to 190821) is provided in Annex 19.**
- 5. Field phase renamed inquiry phase.** Following the monitoring of the Covid-19 situation in Europe the HKH region the proposal renamed the field phase to inquiry phase. Work will primarily be undertaken virtually. This will be kept under review at the weekly meetings with the ISG QQR team.
- 6. Presentation to the BOG:** As indicated above the likely date and location of the next Board meeting is the first week of September in China. IOD PARC are happy to attend the meeting if Covid-19 restrictions allow or to make the presentation virtually (or a mixture of the two).

# Annex 19: Final Workplan

Stage	Activity	Actual Date (to end July)	Revised																											
			03/05/2021	10/05/2021	17/05/2021	24/05/2021	31/05/2021	07/06/2021	14/06/2021	21/06/2021	28/06/2021	05/07/2021	12/07/2021	19/07/2021	26/07/2021	02/08/2021	09/08/2021	16/08/2021	23/08/2021	30/08/2021	06/09/2021	13/09/2021	20/09/2021	27/09/2021						
<b>Inception Phase</b> 10 May - 4 June 4 weeks	Inception meeting with QQR Committee/ ICIMOD	10-May																												
	Meeting with head of SPME for QQR management																													
	Documentation Collation & Review																													
	Set up meta-review of baselines / evaluations / reviews and other evaluative processes																													
	Set up Partnership review including analysis of ICIMOD and partner review documentation and design of staff / partner survey.																													
	Initial discussions with BOG chair / ISG /QQR Management Team																													
	Inception report draft preparation and submission	24-May																												
	Review of inception report and feedback	28-May																												
Final Inception Report preparation and submission	04-Jun																													
<b>Inquiry Phase</b> 5 June - 26 July 6 weeks	QQR Committee meeting with the review team on roll out plan	07-Jun																												
	Interviews with stakeholder (BOG / ISG / RMCs / Development Partners / Partners and staff)s to plan agreed on 18th June	June - July																												
	QQR inquiry work with local partners from civil society with attention to gender / social inclusion as well as post-pilot scale up)	June - July																												
	Partnership review analysis - including interviews and survey analysis	June-July																												
	Results and impact analysis including synthesis-review of ICIMOD evaluative data (baselines, reviews, evaluations)	June-July																												
	Check in meeting the QQR Committee and the reviews- process and way forward (weekly meetings)	ongoing																												
	Nepal based if Covid Restrictions allow or remote if not initial findings analysis / QQR presentation preparation and presentation to the ISG Committee (23 July)	19 - 23 July Presentation 26 July)																												
<b>Reporting Phase</b> 27 July - end Sept 8 weeks (timing subject to BOG mtg	Preparation of first draft of QQR report and submission to ISG & ICIMOD	04-Aug																												
	ISG QQR Committee provides feedback on the first draft of QQR report	13-Aug																												
	Final Draft report shared with ICIMOD and ISG for feedback	20-Aug																												
	ISG / Board Meeting (virtual) - Presentation by Team	6, 8 & 9 Sept																												
	ISG and BOG Programme Advisory Committee approves the report and recommendations	9th Sept																												
Final report presented with full Annexes and documentation	17-Sep																													

## Annex 20: Acronyms

ADA	Austrian Development Agency
ADC	Austrian Development Cooperation
AF	Adaptation Fund
APS Initiative	Air Pollution Solutions Initiative
ASEAN	Association of Southeast Asian Nations
BBIN	Bangladesh, Bhutan, India, Nepal Initiative
BIMSTEC	Bay of Bengal Initiative for Multisectoral Technical and Economic Cooperation
BOG	Board of Governors
CBD	Convention on Biological Diversity
CBFEWS	Community Based Flood Early Warning Systems
CO	Country Office
COP	Conference of the Parties
CSO	Civil Society Organisation
CtA	Call to Action
D-DG	Deputy-Director General
DFAT	Department of Foreign Affairs and Trade Australia
DFID	Department for International Development
DG	Director General
DRR	Disaster Risk Reduction
ERP	Enterprise Resource Planning System
FAO	UN Food and Agriculture Organisation
FCDO	Foreign, Commonwealth & Development Office
FGD	Focus Group Discussion
FoC	Framework of Cooperation
GAPS	Gender Action Plan and Strategy
GCF	Green Climate Fund
GDP	Gross domestic product
GEF	Global Environment Facility
GESI	Gender Equality and Social Inclusion
GLOF	Glacier Lake Outburst Flood
GN-SEC	Global Network of Regional Sustainable Energy Centers
HI-LIFE	Landscape Initiative for Far Eastern Himalayas
HIMAP	Hindu Kush Himalaya Monitoring and Assessment Programme

HKH	Hindu Kush Himalaya
HKH-A	Hindu Kush Himalaya Assessment
HR	Human Resources
HUC	Himalayan University Consortium
IBI	Indus Basin Initiative
ICIMOD	International Centre for Integrated Mountain Development
IGO	Intergovernmental Organisation
INGSA	International Network of Government Science Advisors
IOD PARC	Consulting company
IPBES	Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services
IPCC	Intergovernmental Panel on Climate Change
ISG	ICIMOD Support Group
IWMI	International Water Management Institute
JRC	Joint Research Centre
KBI	Koshi Basin Initiative
KII	Key Informant Interview
KLCDI	Kanchenjunga Landscape Conservation and Development Initiative
KLSCDI	Kailash Sacred Landscape Conservation and Development Initiative
KMC	Knowledge Management and Communication
LoA	Letter of Agreement
LoI	Letter of Intent
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation and Learning
MENRIS	Mountain Environment Regional Information Service
MKAN	Mountain Knowledge Action Network
MoU	Memorandum of Understanding
MOPAN	Multilateral Organisation Performance Assessment Network
MSMEs	Micro, small, and medium sized enterprises
MTAP	Medium Term Action Plan
NDC	Nationally Determined Contributions (for UNFCCC)
NGO	Non-governmental organisation
OCAT	Organisational Capacity Assessment Tool
ODA	Official development assistance
OECD-DAC	Organisation for Economic Co-operation and Development's Development Assistance Committee
PAC	Programme Advisory Committee
PC	Programme Coordinator
PMC	Programme Management Committee (ICIMOD)



QA	Quality Assurance
QQR	Quinquennial Review
R4D	Research for Development
REDD	Reduced Emissions from Deforestation and Degradation
REEECH	Renewable Energy and Energy Efficiency Capacity for the Hindu Kush Himalaya
RMC	Regional Member Countries
RP	Regional Programme
SAARC	South Asian Association for Regional Cooperation
SABAH	SAARC Business Association of Home-Based Workers
SANDEE	South Asia Network for Development and Environmental Economics
SCU	Strategic Cooperation Unit
SDG	Sustainable Development Goals
SDIP	Sustainable Development Investment Portfolio
SMD	Sustainable Mountain Development
SOPs	Standard operating procedures
SPIS	Solar Powered Irrigation Systems
SPME	Strategic Planning, Monitoring and Evaluation
SR / SRF	Strategic Results / Strategic Results Framework
SWaRMA	Strengthening Water Resources Management in Afghanistan
TAF	The Asia Foundation
TAG	Thematic Advisory Group
TOC	Theory of Change
ToRs	Terms of Reference
ToTs	Training of trainers
UIBN	Upper Indus Basin Network
UN	United Nations
UNDP	United Nations Development Programme
UNDRR	United Nations Disaster Risk Reduction
UNEP	United Nations Environment Programme
UNEG	United Nations Evaluation Group
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organisation
UNOPS	United Nations Office for Project Services
USD	United States Dollar
WMO	World Meteorological Organisation