5. ANNEXES

**Annex 1: List of persons interviewed / consulted**

|  |  |  |  |
| --- | --- | --- | --- |
| Individuals interviewed/consulted during the Mission | | | |
| Date | Position/Stakeholder | Name | Location |
| Briefing with PIU, UNDP CO, and GEF TRA at TE Commencement | | | |
| March 13 | GEF RTA | Lisa Farroway | Ulaanbaatar |
|  | UNDP CO | Khishigjargal Kharkhuu |  |
|  | UNDP CO M&E | Buyandelger Ulziikhuu |  |
|  | Project Manager | Erdenebayasgalan Ganjuurjav |  |
| Stakeholder Meetings Ulaanbaatar | | | |
| March 21 | Bayan Airag LLC,  Environment Director | Dan Michaelsen | Ulaanbaatar |
|  | Bayan Airag LL, Environmental Superintendent | Sarantuya M. | Ulaanbaatar |
| March 21 | Khurel Erdene A. | Coordinator Zavkhan Aimag | Ulaanbaatar |
| March 22 | Director, Dept. of Investment and Development, Zavkhan Aimag | Mr. Battsengel | Ulaanbaatar |
| March 22 | Director, Env. And Tourism Department, Zavkhan Aimag | Mr. Munkhbat | Ulaanbaatar |
| March 22 | Officer, Audit and Monitoring Department, MET | Mr. Batbayar | Ulaanbaatar |
| March 26 | Head. Local Technical Committee, Zavkhan Aimag | Ms Lkhamsuren | Ulaanbaatar |
| March 26 | Former Chairman, MECC (environmental NGOs umbrella organization) | Mr Damdinsuren | Ulaanbaatar |
| March 26 | Senior Expert, MonEnCo LLC | Mr Ganbold | Ulaanbaatar |
| March 27 | Senior Expert, Rangeland Management, SDC Green Gold Project | Ms Bulgamaa | Ulaanbaatar |
| March 27 | Legal Expert, MET | Ms Sainbayar | Ulaanbaatar |
| March 27 | Chief, Division of Cadastre on Forest, Water and Protected Areas | Mr Batzaya N | Ulaanbaatar |
| March 28 | Director, Land Department, Zavkhan Aimag | Ms Erdenetsetseg | Ulaanbaatar |
| April 1 | Director of Science, TNC | Mr Bayarjargal Y. | Ulaanbaatar |
| April 4 | Meeting at UNDP CO Resident Representative’s office | Ms Beate Trankmann (RR), Ms. Daniela Gasparikova (DRR), Ms Erdenebayasgalan G. (PM), Mas Khishigjargal Kh. (CO), Mr Erdenebileg (PM ENSURE project) | Ulaanbaatar |
| Khovd Aimag Center | | | |
| April 6 | Head, Department of Environment and Tourism, Khovd Aimag | Mr. Batbayar | Khovd |
| April 6 | Officer of Investment Department, Khovd Aimag | Mr. Baasankhuu | Khovd |
| Meeting with Darvi Soum Government Officers | | | |
| April 7 | Khural Chair | Mr Erdenechuluun | Dariv Soum |
|  | Soum Governor | Mr. Gantsooj | Dariv Soum |
|  | Head of Administration | Mr Munkhjargal | Dariv Soum |
|  | Land Officer | Mr Samdan | Dariv Soum |
|  | Agricultural Officer | Ms Erdenechimeg | Dariv Soum |
| Meeting with local citizens, and members of CSO/Savings and Credit Union Darvi Soum | | | |
| April 7 | TMC local coordinator | Ms Bayarmaa |  |
|  | Member | Molomjamts |  |
|  | Member | Batbayar |  |
|  | Member | Battsengel |  |
|  | Member | Norovbanzad |  |
|  | Member | Undral |  |
|  | Member | Saruul |  |
|  | Member | Nergui |  |
|  | Member | Dorjsuren |  |
|  | Member | Eregjiibuu |  |
|  | Member | Ganbaatar |  |
| April 7 | WWF Altai Sayan Field Office Manager | Ms Baigalmaa | Darvi Soum |
| April 8 | Environmental Officers, MonEnCo LLC | Mr Enkh-Amar  Mr Usukhbaya | Khushuut Mine |
|  |  |  |  |
| Meeting with Durvuljin Soum Vice Governor, and Government Officers Durvuljin Soum | | | |
| April 10 | Vice Governor | Ms Lhkagvasuren |  |
|  | Environmental Inspector | Mr Batbileg |  |
|  | Financial Officer and Sustainable Development Council Member | Ms Ariuanaa |  |
|  | Social Worker/officer | Ms Narangua |  |
|  | Veterinarian | Mr Munkhbaatar |  |
|  | Agricultural Officer | Ms Urantsetseg |  |
|  | Officer in Charge of Implementation of Sustainable Development Plam | Ms Gantsetseg |  |
|  | Buural bagh governor | Mr. Alzahgui |  |
| Meeting with citizens of Durvuljin Soum Durvuljin Soum | | | |
| April 10 | Buga bagh | Tsogzolmaa |  |
|  | Tavan tolgoi bagh | Azjargal |  |
|  | Tavan tolgoi bagh | Ulaanaa |  |
|  | Onts bagh | Nina |  |
|  | Onts bagh | Batnasan |  |
|  | Buga bagh | Erdenetsetseg |  |
|  | Tsogt bagh | Chimedregzen |  |
|  | Tsogt bagh | Purevnyam |  |
|  | Tavan tolgoi bagh | Tserenbat |  |
|  | Onts bagh | Davaajargal |  |
| April 10 | Company Director , Seabuckthorne processing | B. Byambasuren | Durvuljin Soum |
|  | Janchiv Group member | Mr Shinebayar | Durvuljin Soum |
|  | Janchiv Cooperative Leader | Mr Batsaikhan/Yondon | Durvuljin Soum |
| April 11 | Environment Department Officer Bayan Airag Exploration | Ms Erdene Tuvshin | Bayan Airag Mine |
|  | Director, Environment, Bayan Airag Exploration | Mr Dan Michaelsen | Bayan Airag Mine |
|  | Offset Officer, Bayan Airag Exploration | Ms Tungalag | Bayan Airag Offset Area |
| April 16 | Head, Public Administration and Cooperation Department, ALMGAC | Mr Gankhuyag R | Ulaanbaatar |
| April 16 | Officer in charge of Western Region, ALAMGAC | Mr Enk Erdene | Ulaanbaatar |
| April 16 | Officer, cadastre registration of licenses and LPAs, MRPAM | Ms Otgonsuren | Ulaanbaatar |

**Annex 2: Evaluation Criteria Matrix**

| **Evaluative Criteria Questions** | | **Indicators** | **Sources** | **Methodology** |
| --- | --- | --- | --- | --- |
| Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels? | | | | | |
|  | To what extent was project design relevant to national priorities? More Specifically, what was the contribution to:   * Green Development Policy * Development of Mitigation Hierarchy/Offsetting as Priority to address Lad Degradation from Mining) * Safeguarding Key Biodiversity Areas | Consistency with national policies, strategies and action plans  Active role of government agencies and their representatives in guiding project design and in planning, implementation and oversight of activities | Project inception report  Project Document  Minutes of meetings  of Project Board  National Policy Documents  National database(s), cadastre on (local) protected areas | Document reviews  Interviews  Online research, verification |
|  | To what extend was project design relevant to regional (Western Aimags) priorities? Specifically its contribution to:   * Landscape level planning strategies * Aimag Land Development Plans * Aimag level Green Development Strategies | Consistency with Aimag policies, strategies and action plans  Active participation of Aimag government officers in planning, implementation and oversight of activities  Newly developed or up-dated strategies and plans | Project Document  Aimag Policy Documents, Development Strategies | Document reviews  Interviews |
|  | To what extent was project design relevant to local priorities (Soum, Bag, rural citizens)? Specifically its contribution to:   * Soum land development/strategy planning * Sustainable Land Management, and Livelihoods | Consistency with Soum Development Plans, Governors Action Plan.  Newly developed or up-dated Soum Development strategies and plans, pasture land management plans  PUG pasture land management plans, Rangeland Use Agreements, Allocation of customary tenure rights to PUGs | Soum Development plans, other planning documents.  Project reports.  ALAMGAC cadastre | Document reviews  Interviews  Group meetings |
|  | To what extent was the project relevant to GEF 5 Land Degradation Focal Area Objectives, specifically to:   * Objective 3 Reduce pressures on natural resources from competing land uses in the wider landscape, and its outcomes 1 and 2 | Consistency with GEF 5 Land Degradation Area Objectives and outcomes | GEF strategy documents,  ?Tracking Tool | Document review  Discussion with project team  Review/confirmation with GEF RTA |
|  | To what extent was the project relevant to UNDP Strategic Objectives, namely to:   * UNDAF outcome 7 - Increased sector capacity for sustainable resource management, with the participation of primary resource users * UNDP Strategic Plan Environment and Sustainable Development Primary Outcome – Growth and development are inclusive and sustainable incorporating productive capacities that create employment and livelihoods for the poor and excluded. * UNDP Country Programme Outcomes – Introduction of a holistic approach to the planning, management and conservation of land, water and forest resources and biodiversity   What lessons can be learnt from the project for future UNDP programming | Consistency with UNDP strategic objectives including UNDAF and UNDP Country Programme | UN Development Assistance Framework 2017 – 2021 Mongolia  UNDP Country programme document for Mongolia (2017-2021)  CO Mongolia representatives | Document Reviews  Meetings |
| Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved? | | | | | |
|  | Has the project been effective in achieving the expected objective and outcomes ? |  |  |  |
|  | Objective  To reduce negative impacts of mining on rangelands in the western mountain and steppe region by incorporating mitigation hierarchy and offset for land degradation into the landscape level planning and management | Indicators in Results Framework | Project documents  Mid-term Review  Project annual reports  Aimag land use plans  Project outputs (draft law amendments, regulations, methodologies)  Project team  Stakeholders (government, private sector, NGOs, research institutions, communities/citizens) | Document reviews  Interviews  Group discussions  Site visits |
|  | Outcome 1  Land degradation mitigation and offset framework operationalised, through eco-regional land use planning and capacity development | Indicators in Results Framework | Project progress reports  Project outputs (draft law amendments, regulations, methodologies)  Project M&E documentation  Minutes of meetings to submit policy documents  Contractor reports (TNC), Ecoregional Assessments,  Aimag and Soum plans/strategies  Offset plans of mining companies. | Document reviews  Interviews  Group discussions  Site visits |
|  | Outcome 2  Land degradation mitigation and offsets applied through SLM within selected landscapes | Indicators in Results Framework | Project progress reports, mid term review report, M&E documentation.  Pilot landscape reports.  Soum development and or annual land/pasture management plans. Rangeland Use Agreements. PUH pasture land management plans. | Document reviews  Interviews  Group discussions  Site visits |
|  | How was risk and risk mitigation addressed in project implementation? | Risk factors that were identified and mitigated/managed  Quality/Features/Applicability of Information System to foresee and address risks  Success of risk recognition and reduction strategies | Project Reports  Project management  Stakeholders | Document review  Discussions |
|  | Lessons learnt and success factors regarding effectiveness that are applicable for similar projects and general programming ? |  | Project team  UNDP  Stakeholders  Project reports  Publications/presentations/media news |  |
| Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards? | | | | | |
|  | Were project objectives, outcomes and outputs generated according to the original **time frame**? | Timeliness of reports on achieved activities, outcomes, outputs | Progress reports  Project team | Document reviews  Interviews |
|  | What **approaches** were used, and what was their success, in project **management and monitoring**?   * How/was adaptive management applied? * How/was results based management applied? * How/was the results framework (log frame, work plans) applied? | Evidence of changes, adaptations in project design and management  Adequacy of choices made considering time, costs, and other external factors and changing circumstances  Quality of results-based reports, M&E reports, including measurements of indicators |  |  |
|  | Was **co-financing** realised, as planned, less or more? | Co-financing contributions as compared to committed | Completed Co-financing table  Project reports  Letters from co-financing agencies, and MET  Project management | Document reviews  Interviews |
|  | Were **funds** used efficiently, and project implementation as planned with allocated funds ? (planned vs. actual) | Financial reports  Expenditures for implementation (in comparison to similar projects, and in relation to available options/alternatives) | Financial reports,  Procurement records  Project reports  Project management | Document reviews  Interviews |
|  | Were **accounting systems** and generation of **financial reports** efficient? | Financial reports and procedures | Financial/audit reports  Project team | Document reviews  Interviews |
|  | Were implementation **arrangements, partnerships and synergies** efficient? | Achievement of objectives, outcomes and outputs as collaborative efforts  Evidence, examples of collaborative mechanisms and institutions, collaboration with other projects  Specific activities to establish such mechanisms | Project reports  Stakeholders  Project partners | Document reviews  Interviews  Field/site visits |
|  | Was **in-country (national and local) capacity** utilized efficiently? | Tasks fulfilled by experts, contractors on all levels  of project implementation | Project reports  Planning documents  Contracting/procurement documents  Training reports  Stakeholders  Local government  NGOs | Document reviews  Interviews |
|  | What are **lessons and success factors** for efficient implementation, for similar project design, and for general programming ? | Outstanding achievements in the face of limited time or funds, or other circumstances  Achievements or overachievements compared to plans | Project reports  Local planning documents  Results framework  Local government (Aimag and Soum level) | Document reviews  Interviews  Group discussions |
| Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results? | | | | | |
|  | What are financial risks to sustain project results?   * Will project achievements in developing planning procedures, methodologies, guidelines be funded beyond project life? * Will established committees, regular public events etc. be continued with government funding? * Will mining companies allocate funds to continue to develop/implement/monitor offset plans, EMPs * Will central and local governments budget for continued capacity building in agencies for integrated land use planning, monitoring offsetting | Evidence that activities may not be funded beyond project life | Planning documents  Budget planning information from local and central government  Members of Local Coordinating Committees  Mining Companies, and their planning documents | Document reviews  Interviews |
|  | Will the relevant bodies further facilitate adoption of legislation, regulation and methodologies developed with project support? | Status and commitments of submitting drafts to next level for approval | Minutes of meetings  Project team  Resource persons in ministry | Document reviews  Interviews |
|  | Will state owned enterprises implement offsetting? What options are there to enforce/incentivize offsetting with SOEs? | Financial and technical capacity  Awareness, and willingness to comply | Project reports  Representatives of SOEs  Project management | Document reviews  Interviews |
|  | Will compliance of mining companies (private and state owned), be monitored and enforced? (capacity, political will) By government, NGOs/local CSOs? | Capacity of monitoring bodies  Public awareness | Project reports  Agency representatives  NGO representatives | Document reviews  Interviews |
|  | Will offset principle be mainstreamed in public awareness? | Awareness of the issue, its significance in the public | Project documents  Publications, news items | Document reviews  Online search |
|  | Will mitigation hierarchy and offsetting principle, regulations and methodology become required competency of contractors undertaking EIA, of relevant officers in government agencies, and relevant officers in companies? Have the principles and methodologies been included in any curricula? | Training manuals, guidelines, requirements for EIAs  Relevant curricula | Training institutions  Government agencies  Project team  Project documents | Document reviews  Interviews |
|  | Is a project exit strategy in place and embraced by stakeholders and partners, and is their capacity to implement it ? | Exit strategy – content, status of implementation, challenges to implement | Exit strategy, Project documents  Local planning documents  Stakeholders- local governments, mining companies | Document reviews  Interviews |
|  | Has trust and cooperation among stakeholders be strengthened to sustain project outcomes? | Strength of partnerships to continue effective collaboration | Stakeholder representatives  Planning documents  Project team, project documents | Document reviews  Interviews  Group discussions |
| H | Have local capacities been developed to continue integrated planning approaches, access databases, continue SLM practices etc.? | Technical capacities  Data base availability (online, other) | Planning documents  Local line officers of government agencies  User groups  Project reports | Document reviews  Interviews  Group discussions |
|  | What is the degree of project ownership at all levels? | Level of responsibility for project implementation, handover of responsibilities and roles  Knowledge of issues and status of implementation in agencies and among experts of local governments | Project reports  Local planning documents  Agency representatives  Local governments  Local citizens | Document reviews  Interviews  Group discussions |
|  | How well known has the project and its achievements and significance become publicly? Locally and nationally? What publications (print, broadcast, online) have been generated? | Publications (past) and current | Public media | Search online |
|  | Have mechanisms for experience sharing and scaling up been planned? | Plans of events or mechanisms in place | Project documents  Local stakeholders | Document reviews  Interviews  Group discussions |
|  | Are there examples/cases of good practices developed with project support already being replicated? | Replicated activities, or activities building on project lessons, in neighboring areas, with other projects, within communities and local areas | Project documents  Local resource persons  Local planning documents | Document reviews  Interviews  Group discussions |
|  | Have links been established with ENSURE project, and other projects to build on project achievements?  What are the opportunities and challenges in this regard? | ENSURE project documents, and ongoing planning for implementation  Experience sharing among staff, continuity of staff | ENSURE project document and management | Document review,  Interview |
| **Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?** | | | | | |
|  | What impacts did the project have on reducing environmental stress?   * Developing and implementing off set plans (measurable outcomes, as under effectiveness for outcomes) * Rehabilitating degraded areas (measurable outcomes, as under effectiveness for outcomes) | Eco Regional Assessments completed  Integrated landscape plans completed (Aimag and Soum)  Offset plans developed and implemented  Local and state protected areas established and included in cadastre  Capacity for integrated planning, offset planning and oversight | ERA reports  Offset plans and reports  Project reports  Land management plans  PA data base(s) | Document reviews  Interviews  Field visit |
|  | What impacts did the project have on ecological status, through:   * Strengthened legal and regulatory framework * Establishing/registering state and local protected areas (measurable data) * Establishing procedures for landscape level planning based on eco-regional assessments * Identifying Key Biodiversity Areas (measurable information) * Capacity development of stakeholders (measurable improvements) * Public awareness | Drafts of legislation and regulations  Protected areas approved (local and state), and included in cadastre  Protected areas recognised as land use category  KBAs identified | Status of approval of drafts  Number of newly approved state and local Pas  Registration in cadastre of PAs  Management plans for Pas  Capacity development plans | Document reviews  Interviews |

**Annex 3: Guiding Questions/Issues addressed in Semi-structured Interviews and Focus Group Discussions**

Main achievements of project

* On output/activity level
* On higher/outcome level
* Unexpected impacts/achievements
* Any objectives not achieved?, why not?
* Success factors for achieving objectives

Impacts

* On natural resources (rangeland) condition and management
* On conservation of landscapes, wildlife, other values, protected areas
* On Local livelihoods
* On Stakeholders capacities to address land degradation through mining
* Stakeholder cooperation (local government, communities, mining companies)
* Understanding, awareness of mitigation and offsetting principle
* Other impacts

Implementation Arrangements

* Best practices, lessons, recommendations
* Any delays occurred during the implementation
* Difference to other projects you know of or have been involved in
* Recommendations

Risk Management

* Challenges and barriers for implementation
* How were risks and risk mitigation addressed in the project implementation
* Threats and risks to achieve objectives

Best practices, Lessons Learnt to share

* Implementation arrangements
* Stakeholder cooperation
* Lessons for project design
* Policies

Sustainability

* What is your assessment of sustainability of achievements
* Success factors for sustainability
* Follow-up support needs to enhance sustainability

Follow-up and Scaling-up

* Mechanisms for scaling up
* If there was a follow-up project, what would it be?
* What project concepts emerged from this, if any?

Any other comments, suggestions, or questions to the evaluators

Questions/Issues addressed with Mining Company Representatives

General changes for your company through participation in project

* Eco regional assessment, mitigation hierarchy – what did it mean for your operations and planning, EMP, community relations?

Environmental Management Plan and Offset Plan

* What does it entail? How is it being implemented?
* Who is responsible for implementation and oversight?
* Changes to EMP planning
* Current status of EMP and offset plan (developed, submitted, approved)
* Budgeting for Offset plan

Processes, Impacts

* How did your company get involved in this project? And why?
* What are your experiences and recommendations?
* Will it be scalable in the sector?
* What impacts on local cooperation, engagement with local communities and local government do you see?
* What impacts on land use planning?
* Did you see difference in the capacity of local stakeholders in engaging with your company?
* Impacts in the company (capacity, attitudes, cooperation)

Capacity Building Needs

* What capacity building/training necessary for local stakeholders to engage with mining companies effectively?
* Capacity building needs/awareness raising in company staff?
* Relevance for competencies, job descriptions

Best practices, Lessons Learnt

* What are good experiences to share, scale up?
* Relevant to mining sector
* Relevant to community engagement

Sustainability

* Will achievements, activities, mechanisms initiated by the project be sustainable?
* What recommendations do you have regarding sustainable outcomes?
* Support needs/follow-up to enhance sustainability

**Annex 4: List of documents reviewed, or consulted for guidance**

* UNDAF 2017 – 2021, Mongolia
* UNDP Country Programme Action Plan
* Mongolia CPD 2017-2021
* UNDP Handbook for Monitoring and Evaluating for Results
* UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects
* GEF Focal Area Strategies and Strategic Programming
* GEF Project Information Form (PIF) and Log Frame Analysis
* Project document (ProDoc)
* Annual Work Plans
* Annual Project Reports
* Final Project Report (draft)
* Project Result Report (Mon 2019)
* Report on verifying project results and indicators (Mon 2019)
* Project Implementation Review
* GEF Operational Quarterly Reports
* GEF LTD tracking tool final
* Midterm Review Report (MTR), and Management response to MTE;
* Annual Project Implementation Reports (PIRs)
* Project budget and financial data
* Inception Report
* Project Board Meeting minutes
* Knowledge and legislation related drafts and products.
* Reports of training, workshop and knowledge assessment
* Scorecard report
* Project draft exit plan
* Training report on developing offset plan (Mon)
* Reducing land degradation and adverse impacts in Western Mongolia annual report 2018 UNDP, Green Gold
* TNC reports
* Bayan- Airag Mine Offset report 2018
* Khushuut Mine Offset report 2018
* Offset training report in Khushuut Mine site

**Annex 5: Summary of field visits**

The field mission April 6 – 13 **visited two of the three pilot sites**, Khovd Aimag, Dariv Soum, where Khushuut mine is located, and Zavkhan Aimag, Durvujlin Soum, where Bayan Airag mine is located.

The field mission traveled from Ulaanbaatar to Khovd (April 6), Dariv Soum (April 7/8), Durvuljn Soum (April 10/11), Khovd (April 12) and returned to Ulaanbaatar April 13.

The field mission offered opportunities to meet with representatives of **all local stakeholders** of the pilot landscapes, including local government, local communities and private sector to obtain their views on project impacts and results, implementation, sustainability, success factors, lessons learnt and risks and opportunities for sustaining and scaling up achievements. The field mission also included site visits, to the actual **mining sites** and to the related **offset areas** with different SLM practices.

In the pilot landscape of **Dariv Soum**, the mission first visited the main offset area of MonEnCo mining company, the previously abandoned cropland area, now fenced and rehabilitated as part of the Offset/EMP plan of MonEnCo LLC. Proceeding to Dariv Soum, the mission joined an ongoing meeting among soum government land officer, MonEnCo representatives and users of the cropland/offset area. Further meetings were arranged for the mission.

The next day (April 7) the mission met with the Soum Governor, Khural Chair, Head of Soum Administration, and government officers. In the afternoon, the mission met with local citizens, and members of CSO/Savings and Credit Union. On April 8, the mission visited the mining site of Khushuut Mine (MonEnCo LLC), and met with the Environment Department of MonEnCo LLC to discuss the status of their Offset/EMP plan.

In the pilot landscape of **Durvuljin Soum**, the mission had extensive field visits and meetings, after arriving on the evening of April 9, when a brief initial meeting with the environment officer of Bayan Airag LLC was held. On April 10, the mission met with the vice governor and government officers in the morning, visited one of the offset areas (Khar But, wild seabuckthorne area) with the leader of Janchiv Cooperatove, visited the seabuckthorn processing facility and met the company director, before closing the day with a group meeting with citizens (women) of rural bags and the Soum center and the bag governor or Buural Bag.

April 11 started with a meeting with Environment Department of Bayan Airag Exploration LLC, a mining site visit, followed by a visit to the offset area in the rangelands (Janchiv PUG/cooperative area) and marmot re-introduction area, accompanied/lead by the offset officer. The day closed with a de-briefing and clarifications with the Environment Department of Bayan Airag Exploration. The mission traveled back to Khovd during April 11, and returned to Ulaanbaatar by air, by mid-day April 12.

**Annex 6: TE mission schedule and itinerary**

|  |  |  |
| --- | --- | --- |
| Date | Activity | Location/Travel |
| Document review, meetings with UNDP and PIU, meetings with stakeholders | | |
| March 13 | Contracting  Commence document review | Ulaanbaatar |
| March 19 | Meeting of TE team with UNDP CO and UNDP-GEF RTA | Ulaanbaatar |
| March 21 – April 5 | Meetings with Stakeholders  Ongoing document review | Ulaanbaatar |
| Field Mission | | |
| April 6 | Meetings with Aimag Government officers  Site visit to offset area of Khushuut mining company | Flight to Khovd |
| April 7 | Meetings with Soum government officers  Focus group meetings with local community members | Travel to Darvi Soum |
| April 8 | Visit to mine site  Meeting with Environmental Department of MonEnCo Site | Dariv Soum, mine site, Khokhmorit Soum |
| April 9 | Travel, Meeting with Environmental Officer Bayan Airag Mine | Khukhmorit to Durvuljin Soum |
| April 10 | Meeting with Durvuljin Soum Government officers  Meeting with PUG/Cooperative leader and his household  Visit to Khar But Seabuckthorne area  Visit to Seabuckthorne processing facility  Meetings with local citizens, herders, bag governor | Durvuljin Soum |
| April 11 | Meeting with director and officer of Environmental Department Bayan Airag Mine  Visit to Bayan Airag mine,  Visit to offset area, with offset officer of Bayan Airag Mine | Durvuljin Soum |
| April 12 | Travel to Khovd Aimag Center | Durvuljin, Khovd |
| April 13 | Flight to Ulaanbaatar | Khovd, Ulaanbaatar |
| Preliminary Evaluation of Field Findings, Debriefing, Stakeholder meetings, Presentation | | |
| April 14 - 18 | Document Review, Meetings | Ulaanbaatar |
| April 19 | Presentation of Preliminary Findings in the project closing workshop | Ulaanbaatar |
|  |  |  |
| April 20 – May 12 | Review/evaluation of documents and information, as they become available preparing draft TE report |  |
| May 12, 2019 | Submission of draft report |  |

**Annex 7 – Co-financing Table**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Summary of Co-financing –  UNDP managed funds and partner managed resources as committed and as reported by the partners | | | | | | | | |
| **Co-financing**  **(type/source)** | **UNDP own financing (mill. US$)** | | **Government**  **(mill. US$)** | | **Partner Agency**  **(mill. US$)** | | **Total**  **(mill. US$)** | |
| Planned | Actual | Planned | Actual | Planned | Actual | Planned | Actual |
| **Grants** | 850,000 | 850,000 |  |  |  |  | 850,000 | 850,000 |
| **Loans**  **Concessions** |  |  |  |  |  |  |  |  |
| **In-kind support** |  |  | 3,900,000 MET and MoM | 8,100,000  MET | 150.000 TNC  50.000 MNMA  80.000 WWF | 150.000 TNC  50.000  MNMA  WWF 465.000 | 5,280.000 | 8,765,000 |
| **Other** |  |  |  |  |  |  |  |  |
| **Totals** | 850.000 | 850,000 | 4,150.000 | 8,100.000 | 280. 000 | 665.000 | 5,280.000 | 9,615.000 |

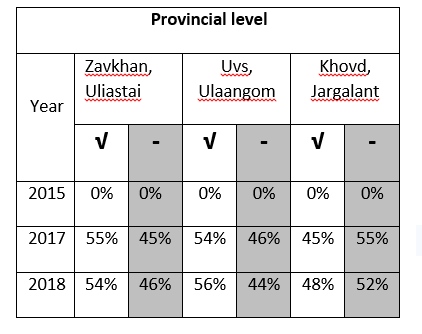
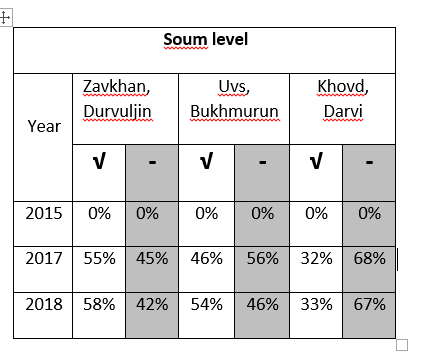
**Annex 8 – Implementation of M&E Activities**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Implementation of M&E Activities | | | | |
| **№** | Report | Date | Responsible Party | Sent to |
| **1** | PIR | August 2016 | PIU | Regional office and UNDP, CO |
| 2 | QPR | December 2016 | PIU | UNDP, CO |
| 3 | Inception report | December 2016 | PIU | UNDP, CO |
| 4 | Annual report-Monitoring | December 2016 | PIU | Secretariat of Governmental Cabinet |
| 5 | Audit | March 2017 | Ulaanbaatar audit LLC | UNDP, CO |
| 6 | PIR | June,2017 | PIU | Regional office and UNDP, CO |
| 7 | Spot check | 2017 Zavkhan | PIU | UNDP, CO |
| 8 | Midterm review | December 2017 | PIU, UNDP CO | Regional office |
| 9 | Annual report-Monitoring | December 2016 | PIU | Secretariat of Governmental Cabinet |
| 10 | Audit and Monitoring | 2018 | PIU, MET | UNDP, CO |
| 11 | Spot check | 2018 Uvs, Khovd | MET | UNDP, CO |
| 12 | PIR | June, 2018 | PIU | Regional office and UNDP, CO |
| 13 | Annual report-Monitoring | December 2018 | PIU | Secretariat of Governmental Cabinet |
| 14 | Terminal evaluation | ongoing | TE- team | Regional office |

**Annex 9: Capacity Development Scorecard Results**

The baseline knowledge level of the pastoral communities were identified as not adequate by 0%, thus, it was concluded that, the level of understanding of pastoral communities have increased by average 50%, throughout the project implementation years in 2017 and 2018.

*Explanation (****√****)- Have understanding (-)- No understanding at all*

**Annex 10 – EMP Budgets of Participating Mining Companies by Project Year**

**(Mio. MNT)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Bayan Airag Mine** | | | | | |
| **2015** | **2016** | **2017** | **2018** | **2019** |
| 135.9 | 132.2 | 137,3 | 137.5 | 196,0 |
| **Khushuut Mine** | | | | | |
| **2015** | **2016** | **2017** | **2018** | **2019** |
| 349.7 | 396.2 | 401.1 | 1,424.5 | 434.0 |
| **Увс, Khotgor Mine** | | | | | |
| **2015** | **2016** | **2017** | **2018** | **2019** |
| 7.4 | 7.2 | 13.0 | 8.4 | 53.6 |

Annex 11: Evaluation Consultant Code of Conduct and Agreement Form

**Evaluators:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**Evaluation Consultant Agreement Form[[1]](#footnote-1)**

**Agreement to abide by the Code of Conduct for Evaluation in the UN System**

**Name of Consultant:** \_\_Sabine Schmidt\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Name of Consultancy Organization** (where relevant)**:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at *Ulaanbaatar* on March 13, 2019

Signature: \_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Annex 12: Evaluation Report Clearance Form

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

UNDP GEF RTA

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. www.unevaluation.org/unegcodeofconduct [↑](#footnote-ref-1)