



ХОЛЧ МЭЛМИЙ

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“Kholch Melmii Research and Training Centre” NGO

MID-TERM EVALUATION

of

**“Strengthening the Disaster Mitigation and Management System in
Mongolia” project, MON/08/305 (phase III)**

Ulaanbaatar, Mongolia

2010

CONTENT

List of Acronyms and Abbreviations.....	3
Executive Summary.....	4
Acknowledgements.....	6
Introduction of the evaluation.....	7
• Purpose of the evaluation.....	7
• Key questions and scope of the evaluation.....	7
• Team composition.....	7
• Approach and methodology.....	8
• Evaluation instruments.....	10
• Findings	11
Introduction: Background and context of the project.....	15
• Global Context	15
• Mongolian Disaster Management Background.....	15
• Project Background.....	16
Evaluation assessment of the project performance.....	21
• Relevance	21
• Effectiveness.....	22
• Efficiency.....	23
• Impact	24
• Sustainability	25
Conclusion.....	27
• Within policy making and planning framework	27
• Within cooperation and partnership.....	28
• Within community-based disaster risk management.....	29
• Within national climate risk management strategy.....	30
Recommendations.....	32
• To UNDP.....	32
• To NEMA.....	32
• To Project Management Team.....	33
• To Local Coordinators	34
Annexes.....	36
• Annex 1 Team introduction	36
• Annex 2 List of persons interviewed.....	37
• Annex 3 List of reference materials reviewed.....	39
• Annex 4 Term of reference	43
• Annex 5 Performance rating.....	47
• Annex 6 Evaluation matrix	53

LIST of acronyms and abbreviations

ADB	Asian Development Bank
AEMD	Aimag Emergency Management Division
AWP	Annual Workplan
CBDM	Community Based Disaster Management
CBDMU	Community Based Disaster Management Unit
CSMS	Computer Science and Management School
CED	City Emergency Department
DM	Disaster Management
DMP	Disaster Management Plan
DPF	Disaster Preparedness Fund
DPM	Deputy Prime Minister
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
DRRPC	Disaster Risk Reduction Partnership Council
EMD	Emergency Management Division
FAO	Food and Agricultural Organization
HFA	Hyogo Framework for Action (2005-2015)
LC	Local Coordinator
LGA	Local Government Authorities
MDGs	Millennium Development Goals
MFAg	Ministry of Food and Agriculture
MNE	Ministry of Nature and Environment
MOECS	Ministry of Education, Culture and Science
NCDB	National Civil Defence Board
NFA	National Framework of Action 2010-2020
NEMA	National Emergency Management Agency
NIP	National Implementation Plan
NGO	Non-Governmental Organization
NPD	National Project Director
NPM	National Project Manager
NPS	National Platform Structure
Nukhurlul	Mongolia term for herder group
PB	Project Board
PIU	Project Implementation Unit
RMMA	Resource Mobilization Material Acquisition policy
PPE	Personal Protective Equipment
PRA	Preparedness Response Assessment
SAR	Search and Rescue
SBCD	State Board for Civil Defence
SRD	State Reserve Department
TOR	Terms of Reference
TPR	Tripartite Review (Government of Mongolia, Government of Luxembourg, UNDP CO)
UNCT	United Nations Country Team
UNDAC	United Nations Disaster Assessment and Coordination
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNISDR	United Nations International Strategy for Disaster Reduction
UNOCHA	United Nations Office for Coordination of Humanitarian Affairs

EXECUTIVE SUMMARY

The evaluated project is the Strengthening the Disaster Mitigation and Management System in Mongolia - Phase III known as the Disaster Project is funded by the Government of the Grand Duchy of Luxembourg, a main donor, and UNDP TRACs and in kind contributions from the Government of Mongolia.

The objectives of the evaluation were to provide an assessment of progress made towards realizing the project's objectives. Assess the realism of these objectives and the extent to which they lend themselves to ongoing evaluation. Moreover identify any major problems, difficulties and constraints encountered during the first half of this project in pursuit of the project objectives. Finally, propose recommendations for resolving the above mentioned difficulties so that they do not negatively impact upon the project's implementation, and to enhance positive impacts/results.

At first the evaluation team according to the work plan scanned all necessary documents provided by project team and developed project assessment guide. Based on guidance from "Handbook on planning, monitoring and evaluating for development results" the evaluators used 5 criteria, relevance, effectiveness, efficiency, impacts and sustainability, to develop project evaluation matrix with sub questions targeting outputs and indicators.

The evaluation team carried out over thirty semi-structured interviews, based on the evaluation matrix, with the project team, key staff within the NEMA, UNDP, local DR councils, and herders. In addition to examining progress to date, problems encountered, and the realism of the project objectives, the evaluation also looked at disaster management in general. The evaluation identified major problems and constraints and made additional proposals for improvement. External perceptions of the project were positive, even enthusiastic. The project is perceived as having had an impact on strengthening the disaster prevention and mitigation processes, and well respected in the areas where implemented.

The findings and conclusions contained in this report rely primarily on a desk review of project documents and interviews as follow-up. It includes over 30 interviews with project key informants. Within the given resources allocated to this mid-term evaluation, the independent team of consultants conducted a detailed assessment of actual results against expected results.

ACKNOWLEDGEMENTS

The evaluation involved various individuals. We especially would like to thank Amgalanbayar Ts., Director of NEMA, Mrs. Tungalag U., UNDP Environment Team Leader, and Mr. Onno van den Heuvel, Programme Officer for biodiversity Conversation, who generously gave their precious time and contributed their fruitful ideas to this evaluation.

We are particularly grateful to the project team with leader, Mr. Boldbaatar Sh., National Project Manager, who provided all necessary documents and made arrangements to make possible field trips, interviews of local coordinators, herders, members of DRRPCs and local Disaster Mitigation Divisions.

Finally, we are grateful to all individuals for their untiring support throughout the evaluation.

Munkhtuul.Ch
/Team leader/

INTRODUCTION TO THE EVALUATION

Purpose of the evaluation

The purpose of the Mid-Term Evaluation of the Disaster Project is to assess the project progress and to give recommendations on the future orientation and emphasis of the project during its remaining implementation period, completed by the end of 2011.

Key questions and scope of the evaluation

This evaluation aims to provide

- An assessment and evaluation of project unit progress made towards realizing the project's objectives.
- Identify any major problems, difficulties and constraints encountered during the first half of this project in pursuit of the project objectives.
- Assess trainings, initiated by the project, and their results
- Define operational frames of project units
- Assess and evaluate utilization of financial funds by the project team
- Assess the realism of these objectives and the extent to which they lend themselves to ongoing evaluation.
- Finally, propose recommendations for resolving the above mentioned difficulties so that they do not negatively impact upon the project's implementation, and to enhance positive impacts/results.

Team composition

The evaluation team is composed of 5 members, Ms. Munkhtuul Choiijil, MBA, Coordinator of the evaluation team and Director of "Kholch Melmii: Research and Training Center" NGO and 3 local consultants that are Prof. Oyuntungalag Buyantur, MBA, Senior lecturer, CSMS; Prof. Battuvshin Gurbazar, PhD candidate, Researcher, Senior lecturer, CSMS; Ms. Burmaa Zunkhuu, MBA, Director of Universal Marketing and Communications Co.Ltd.; and Mr. Bulgan T., Bachelor of BA and Jurisprudence, attorney.

Approach and methodology

Particular emphasis was put on the current project results and the possibility of achieving all objectives in the established timeframe of the project, taking into consideration the speed, at which the project is proceeding. The MTE assessed the project achievements so far; highlighted issues requiring decisions and actions; presented initial lessons learned about project design, implementation and management; and make recommendations that project partners and stakeholders might use to improve the design and implementation of other related projects and programs. More specifically and based on the TORs (see *Annex 4*), the evaluation assessed relevance, efficiency, effectiveness, impact and sustainability of the project. In addition, the achievements of the DRP are assessed against objectives

Based on discussions with the stakeholders and literature review, special attention has been given to:

- Relevance of the project activities, and outputs, with respect to the overall objectives of UNDP and Mongolia
- Likelihood of DRP reaching ^{3rd} phase numerical targets, and the factors that may impede success
- Key lessons learnt for consideration in future DR project implementation

The Mid-Term Evaluation of the Disaster Project was carried out using methodologies such as literature and documents review, field visit observations and interviews with stakeholder representatives who are either affiliated to the project as direct beneficiaries or who have or might be expected to be influenced by the project (See list of interviewed people. Annex 2). The methodology used to conduct this mid-term evaluation is compliant with international criteria and “UNDP Monitoring and Evaluation Policy”. It was undertaken in-line with the UN principles: independence, impartiality, transparency, disclosure, ethical, partnership, competencies/capacities, credibility and utility.

The evaluators visited NEMA, two aimags, Bulgan and Khentii, and two Ulaanbaatar districts, Songinokhairhan and Chingeltei, to interview NEMA representatives, ministry officials, consultants and NGO's.

The list of persons interviewed and list of documents reviewed are presented in Annex 2 and Annex 3 respectively. The project staff organized the interviews with NEMA staff, local representatives and herders. The interviews were structured taking into account methodological guidance by UNDP.

The Evaluation Team developed and used tools to ensure an effective project evaluation. The evaluation was conducted and the findings are structured around the five internationally accepted evaluation criteria

There are:

- *Relevance* relates to an overall assessment of whether the project is in keeping with its design and in addressing the key priorities to ensure that the obligations under the Hyogo framework and UNDP are met and in keeping with the donors and partner policies, as well as with national and local needs and priorities.
- *Effectiveness* is a measure of the extent to which formally agreed expected project results (outcomes) have been achieved, or can be expected to be achieved
- *Efficiency* is a measure of the productivity of the project intervention process, i.e. to what degree the outcomes achieved derive from efficient use of financial, human and material resources. In principle, it means comparing outcomes and outputs against inputs.
- *Impacts* are the long-term results of the project and include both positive and negative consequences, whether these are foreseen and expected, or not.
- *Sustainability* is an indication of whether the outcomes (end of project results) and the positive impacts (long term results) are likely to continue after the project ends.

The methodology and the work plan to conduct the assignment were submitted to the Project Manager for their review prior to being used by the Evaluation Team.

Evaluation Instruments

The evaluation provides evidence-based information that is credible, reliable and useful. The findings were triangulated through the concept of “*multiple lines of evidence*” using several evaluation tools and gathering information from different types of stakeholders and different levels of management. In order to conduct this mid-term evaluation, the following evaluation instruments were used:

Evaluation Matrix: As part of the start-up phase, the Evaluation Team developed an evaluation matrix (see *Annex 6*) based on the evaluation scope presented in the TOR, the project log-frame and the review of the key project documents. This matrix was structured along the five evaluation criteria and included all evaluation questions. It provided overall directions for the evaluation, was used as a basis for interviewing people and reviewing project documents and provided a basis for structuring the evaluation report. This matrix was assembled with an overview of the project, the evaluation scope and the proposed methodology to complete the evaluation work plan.

Documentation Review: It was conducted in by the Evaluation Team. All documentation was a main source of information, A list of documents was provided in the TOR and the Evaluation Team searched other relevant documents through the web and contacts such as NEMA, UNDP, Project team, local representatives, etc. (see *Annex 4*).

Interview Guide: Based on the evaluation matrix, an interview guide was developed (see *Annex 6*) to solicit information from the stakeholders. As part of the participatory approach, the Evaluation Team ensured that all parties viewed this tool as balanced, unbiased, and structured. It was also used for interviews to be conducted by phone or email when needed.

Interviews: Stakeholders were interviewed (see *Annex 2*). The semi-structured interviews were conducted using the interview guide and adapted to each interview. All interviews were conducted in person with some follow up using emails when needed. Confidentiality was guaranteed to the interviewees and the findings are incorporated in the final report.

Performance assessment: The Evaluation Team rated the project achievements according to the project review criteria; using the ratings as:

- **Excellent-** - when all goals are achieved, decisions have been implemented and have visible outcomes, results are sustainable.

- **Good-** Not all goals are achieved, yet all necessary arrangements were made, all financial and organizational issues were solved, stakeholders' decisions are starting put into effect, and main outcomes have been noticeable.
- **Satisfactory-** if all preparatory and preliminary treatments were made and some results have been achieved.
- **Unsatisfactory-** when preparatory actions have been made and are on the way of just implementation.
- **Poor-** if only preparatory actions such as research, tentative calculations, and defining problems have been made.
- **Inferior-** when neither performance nor achievements have detected.
- **Not Applicable-** if there's any visible results or criteria are not applicable to make the evaluation.

FINDINGS

At early stage of the evaluation the evaluation team get acquainted with handbooks for Monitoring and Evaluation and samples of evaluation reports of other projects initiated by UNDP.

Simultaneously, the team developed interview questions and arranged individual and group interviews and observations. We interviewed more than 30 people from following organizations and locations. They are:

- Project team and UNDP officials
- NEMA officials
- Districts of Ulaanbaatar, where the project is implemented
- EMD and Project units at Bulgan aimag
- EMD and Project units at Khentii aimag

Project team provided us with all necessary project documents for the evaluation, supporting development of the work plan and report.

During the evaluation in order to get close to reality the evaluation team visited above mentioned organizations and locations, and interviewed stakeholders in person to observe and asses project implementation status, progress of trainings

initiated by the project, procurement efficiency and current progress of local project units.

At first we examined reasons of choosing certain locations as project targets, common types of disaster, operational framework of project units and their achievements from the project team.

Within this framework the project selected “DRR assessment team” through bidding and selected project implementation objects as NEMA, CEMD and LEMD with correction that were the right decision as concluded by the evaluation team.

The team interviewed officials of NEMA, the government agency for implementation of Disaster policy, to expound and review their opinions about project effectiveness, operational framework and outputs.

Within framework of Policy making and planning

The third phase of the project aims to fortify and sustain achievements of the previous two phases and strengthen DRRM in Mongolia. Within this framework the project team fulfilled several significant operations toward improvement of legal environment of DR such as designed and submitted to NEMA proposals for “A concept paper for establishing a Disaster Risk Reduction Partnership System in Mongolia”, methods to improve legal regulation of NEMA, main methodology and strategic plan to prevent from disaster and additions to “Law on Disaster Protection”. Moreover, in line with the framework the project team has begun activities toward building national DRRPCs on every level of local governance such as city, aimag, soum and districts. On October 19th of 2009 the Director of NEMA ordered and amended (Order #378) the first “Recommendations on DR assessment methodology”. In addition, the project is concentrated on designing standards for actions related to preparedness, mitigation and cope with emergencies and disasters. The project team with the help of international consultants developed long term policies such as National Framework of Action and National Implementation Plan, and submitted to the Parliament of Mongolia. Amendment of these documents shall be one step of many toward realization of HFA by the Government of Mongolia.

Strengthening human capacities and technical competencies

Within this framework the project team completed following works to strengthen

professional capacity of NEMA.

- Training professional rescuers on Disaster Management
- With the help of international instructors organize workshops and share knowledge with them
- Prepare, publish and disseminate training standards, textbooks and study guides.

As part of the project objectives, supports to NEMA in building professional capacity and strengthening technical competencies were made on a regular basis. In this framework at previous phases the project procured and handed over to NEMA with necessary equipments in amount of USD 615,000 in total. At the third phase the project is continued its support. For instance, within UNDP framework invited international consultants to share knowledge, conducted inventory survey to define NEMA equipment and facility needs, and supplied equipments integral in increasing performance rates of rescuers, fire fighters, chemists and signallers.

Likewise, defined equipment needs of Aimag and Regional Emergency Management Divisions and provided necessary tools and equipments, suited to international standards. For instance, in 2008 the project procured and handed NEMA divisions Chemhaz PPC and Testing/ Monitoring equipments and clothes, chemical hazard clean up containers worth USD 124,500, in 2009- 11 VX1210 radio station and 2 UAZ-472 model vehicles, in 2010- 18 pieces of Motopumpo water pumpers in amount of USD 240,000.

Moreover, procured from Australia 18 Compressed Air Breathing Apparatus (CABA) masks and 27 bottles, fire fighting 42 overcoats, 24 trousers, 14 helmets, 14 boots, 14 jumpers, 8 set of jumpers' visors and ear protectors, 7 signal lights, tents and floor mats total worth AUD 41,650 and handed to NEMA divisions and rescue units.

This year the project aims to supply all fire fighting divisions in aimags and soums with water pumps.

Likewise, the project published and disseminated 500 "Compilation of laws and legislation on disaster", "Disaster Risk Assessment Guide", "A handbook for rescuer during emergency and disaster" of each, 300 "A handbook for Water rescuing" , 200 CD-s of "Combating with ChemHaz".

Within the strengthening technical competencies the project team fulfilled many operations; however some appliances procured in cooperation of NEMA didn't

satisfy technical requirements. For example, the technical capacity of mobile radio station is not good enough to maintain contact during emergency and water rescuers' suits are too heavy so that confines rescuers movements in the water.

Preparedness to disasters and mobilization during emergencies

Any activity related to preparedness to disasters and emergencies were arranged with the help of almost 100 professionals including Professional inspection agencies of ministries, agencies, aimags, soums and districts, National Disaster Protection inspector at NEMA, National Fire Control Inspector, Local government agency members, public organizations and citizens. In addition, new department to Prepare and cope with disasters was reformed at NEMA and inspections are held according to integrated work plan on national level.

During emergencies and disasters NEMA with collaboration of Disaster Mitigation and Fire Fighting Departments organize 24 hour emergency alert, receives information and data from affected areas, forms Emergency Team-105 in cities like Ulaanbaatar and Darkhan, provides necessary equipments, tools and appliances local citizens and professionals. Moreover, rescue and fire fighting subunits are on alert for 24 hours. Furthermore, according to Law on Disaster Protection if there public emergency and disaster NEMA announces public alert on heightened state preparedness, mobilize special units and city, aimag, district emergency departments' administration, human resource and technical capacities to rescue, liquidate the consequences and recover from destructions.

Project collaboration with NEMA, DRRPC, community groups and units on disaster prevention has given some results.

INTRODUCTION: BACKGROUND AND CONTEXT OF THE PROJECT

Global context

The number of disasters has been increased due to global warming, thinning and perforation of Ozone layer, and fast industrial growth initiating a greater discussion of disaster risk issues since 1990.

Disaster dangers have overflowed single country framework and embrace global context forcing countries to integrate, collaborate and declare number of conventions.

Delegates from 168 countries gathered at The World Conference on Disaster Reduction held in Kobe, Hyogo, Japan on January 18-22, 2005 to declare “Hyogo framework for action 2005-2015 to Build the Resilience of Nations and Communities to Disasters” was one of the products on this matter.

Since then disaster issue has become one of the concerns of Mongolian Government.

Mongolian Disaster Management Background

A landlocked country located between China and Russian Siberia, Mongolia was for many years unknown to the outside world. With a population of less than three million in an area almost the size of Alaska, (CIA World Factbook, 2000) Mongolia was for centuries a land of nomadic herders and itinerant traders. Indeed, “their location in North Asia, with its extremes in temperatures and resultant short growing season, precludes intensive agriculture. Grasslands in the central part of the country have traditionally sustained most of the Mongol population, who tended sheep, goats, yaks, horses, and camels” (Rossabi, 1998).

Based on Dzud in 1999-2000 the Project of Disaster Risk Reduction was supported and declared by Mongolian Government. At that time a unit to mitigate disaster risk and fight with disaster was under direct supervision of Ministry of Defence. The structure of National Defence system and legal environment restricted UNDAC to provide any kind of support to the unit. Hence the need for restructuring the unit, reforming from military based to more civil featured, has emerged.

Consequently following strategic goals such as educate all personnel and build professional capability of The Civil Defence Department and set up legal background for policy making are initiated. A project aiming above mentioned objectives has been implemented and successfully operated for 8 years with support of the government of The Grand Duchy of Luxembourg and UNDP. The project has performed a key role in capability building of Mongolian Disaster Mitigation Management.

Project background

The overall project goal is to contribute to the sustainability of the country's development gains by reducing risks and vulnerabilities through enhanced government capacity and wider partnerships with other sectors, and regions.

The Disaster Risk Management have its own set of problems and constraints, including: lack of political support; a methodology in its infancy; lack of empirical data in many places; inadequate capacity and resources to invest in DRM; the highly politicized nature. Given this long list of difficulties, it is clear that the UNDP's DR project has a truly daunting task.

The "Strengthening the Disaster Mitigation and Management System in Mongolia phase III" project shall lead to the integration of Disaster awareness and preparedness in a greater range of sectors. Among numerous objectives of the project improving the professional capacity of NEMA at all levels through staff training, strategic advice and creation of partnerships, and equipment procurement are fundamental. Another crucial part of the project is through the assessment of traditional ways, as well as scientific methods the project will improve the country's ability to deal with climate change resilience and adaptation, especially in rural areas insuring decrease of vulnerability and enhancing sustainable development of the country. These goals were presented in UNDP and within framework of building DRR capacity programme following targets/ outputs were focused.

- The early warning and disaster preparedness laws are implemented, legal/policy environment for disaster prevention is improved enabling community groups,

local governments and the national institutions to coordinate and enhance their systems for disaster preparedness.

- Public education and awareness of disaster preparedness and mitigation enhanced. The project will work on informing of the public about disasters, with a focus on the scholastic education.
- Capacity strengthened at national and local levels to prevent, mitigate and cope with emergencies (for instance, influenza, plague) and disasters.

The support and participation of all players is vital to the success of the project and thus includes a wide range from high level NEMA officials to local communities and the individual herder in each herder group.

The Phase III of the project intends to strengthen the success of previous two phases (Phase I: 2002-2004, Phase II: 2005-2007) and further achievements of the phase III will be based on accomplishments of the preceding phases. Those are

- The disaster mitigation part of the National development strategy shall reflect contemporarily global standpoints, determine action plan for 2007-2015
- Building DRR capacity of NEMA by compiling Civil Defence multiple function, Funds during emergencies and fire fighting with the National Emergency Management
- Building partnerships for DRR in Mongolia at all levels. For instance, a tested DRR strategy on a local level is forming and supporting herder groups based on partnerships of local community. This experience has extended into the third phase of the project through improving livelihood of families by increasing their income, and creating funds to support development of rural partnerships.
- Facilitating gender mainstreaming in DRR.

Objective of the Phase III

The principal objective of Phase III project is to support implementation of the long-term strategy of Mongolia for disaster risk management to minimize vulnerability, improve preparedness; enhance institutional capacity for disaster management and emergency response, and assist in adapting to climate change that adversely affects sustainable development of the country, especially those in the rural environments (Project Document).

Project target area

For achieving overall project goal and the principal objective, Phase III will target assisting NEMA branches in all 21 aimags and 9 districts of the capital city for its technical assistance. For CBDM component of Phase III, eight soums in four aimags which successfully graduated the pilot stage will continue to be target soums to further strengthen soum level structures for DRR. Following recommendations of the Terminal Evaluation to replicate, and expand good practices generated by the pilot CBDM, both NEMA and UNDP agreed to use following criteria for selecting additional aimags/soums/districts in both rural and urban areas:

- Representation of each region
- Location in economically disadvantaged and ecologically degraded areas
- Prone to various disasters
- Higher poverty rate
- Limited access to other donor projects
- Proximity to previous phase soums for management efficiency

The table on next page shows the target soums and districts for Phase III with their regional representation and coverage.

As the table illustrates, the project will cover a total of 12 rural soums and 2 urban districts which represent six aimags and the capital city in four regions of Mongolia.

In addition the project may undertake CBDM training and other relevant activities for local DRR in target areas of other UNDP implemented projects, which also have community based natural resource management and pasture management components. These include Community-based Biodiversity Conservation project in Altai Sayan region (20 soums in four western aimags), and Sustainable Land Management to combat desertification project (13 soums in four central/eastern aimags). Phase III project will have a strong linkage with the results of recently completed UNDP Urban Poverty Pilot project in Ulaanbaatar, where two Khorroos of selected Songinokhairkhan, and Chingeltei districts have operating community Self-help groups and Khoroo activists who benefited from capacity building support of the project.

Furthermore, the project shall ensure that while supporting the herder communities, it maintains effective networking for information exchange and experience sharing with other successful herder communities created through World Bank, GTZ and other international charity and humanitarian organizations such as ADRA, World Vision, and IFRC, which have extensive experiences and achievements in working at the community level.

Proposed Regional Centers of NEMA	Aimags in the region	Soums from Phase II (also target for Phase III)	Newly selected soums and districts for Phase III
Western region: <i>Khovd</i>	1. Uvs 2. Bayan-Ulgii 3. <i>Khovd*</i> 4. Govi-Altai 5. Bayankhongor 6. <i>Zavkhan</i>	1. Munkhkhairkhan 2. Bulgan 3. Numrug 4. Tsagaanchuluut	
Eastern region: <i>Khentii</i>	7. <i>Khentii</i> 8. Dornod 9. Sukhbaatar 10. Dornogovi 11. Govi sumner	5. Binder 6. Jargaltkhaan	
Northern region: Darkhan-Uul	12. Selenge 13. Orkhon-Uul 14. Darkhan-Uul		
Southern region: <i>Dundgovi</i>	15. Southgovi 16. <i>Dundgovi</i> 17. Uvurkhangai		9. Bayanjargal 10. Govi-Ugtaal
Central region: <i>Arkhangai</i>	18. Arkhangai 19. <i>Bulgan</i> 20. <i>Huvsgul</i>	7. Teshig 8. Saikhan	11. Selenge (Bulgan) 12. Erdenebulgan (Huvsgul)
<i>Ulaanbaatar</i>	21. Tuv 1. <i>Songinokhairkhan</i> 2. Bayanzurkh 3. Bayangol 4. Khan-Uul 5. Nalaikh 6. Baganuur 7. Sukhbaatar 8. <i>Chingeltei</i> 9. Bagakhangai		13. Songinokhairkhan 14. Chingeltei

* Soums in the next column are from these aimags in italics.

Project outcomes, outputs and indicative activities

The proposed Phase III project has following four Outcomes that focus on disaster risk reduction in Mongolia:

Outcome 1: Planning and policy. NEMA and its 30 departments at aimag/duureg levels are enhanced their professional capacities through supported implementation of NFA 2006-2015 for reducing disaster risks, and responding to emergencies and new hazards with the careful consideration of regional specifics and their diversified needs.

Outcome 2: Public awareness and education for DRR in Mongolia are increased by establishing wider partnerships at local (including CBDM), regional, national, and international levels leading to improved cooperation and increased resources for DRR.

Outcome 3: Community based disaster resilience management strengthened

Outcome 4: National capacity for Climate resilience and adaptation to reduce disaster risks has strengthened.

Gender Equality

Mongolia is committed to implementing the Millennium Development Goals (MDG). The goal #3, Promoting Gender Equality, is relevant for all sectors in Mongolia. It is also foreseen as a crosscutting issue for the DMP- Phase III. The effort and commitment towards Promoting Gender Equality of all project stakeholders is important. The “UNDP’s Eight-Point Agenda for Women’s Empowerment and Gender Equality in Crisis Prevention and Recovery” is one guiding documents for this process.

EVALUATION: ASSESSMENT OF THE PROJECT PERFORMANCE

As cited in the “Handbook on Planning, Monitoring and Evaluating for Development results of UNDP” the evaluation team conducted thorough assessment of the project performances. Overall grade was 4.8 or Good, Satisfactory (Annex 5). Followings will give more detailed explanations.

Relevance

This section discusses the relevance of the project within its international and national context; as well as against its original design.

The project is highly relevant to UNDAF and NEMA objectives, and development policies of Mongolia. The project responds to Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters, and its implementation aligns with Mongolian national security concept, Law on Disaster Protection and other related laws and legislations. The project concept considers conservation of ecosystem and sustainable use of biological resources developed “National Programme for Strengthening Disaster Mitigation and Management System in Mongolia”. The project cooperated with NEMA by assisting it in building partnership institutions on national level, improving legal environment for disaster management system, helping to contact with identical organizations from overseas to share knowledge, strengthening their collaboration and expanding NEMA’s operation. However, coherence of ministries and international organizations in the field of Disaster Management is unclear.

On local level citizens, herders and families are concerned on preventing from disasters, having basic knowledge on preparing for, mitigating and coping with disasters, and reducing occurred or potential damages. Hence, the project aims to support local citizens and herders in preventing and mitigating with disasters by forming community groups and facilitating their effective collaborations against disaster risks.

Within this framework the project aims to involve all local professional organizations such as local administrations, local self-government organizations, Aimag’s Disaster Management Divisions and Weather and environmental analysis departments in Disaster Management through strengthening their capacity by providing guides and handbooks.

Effectiveness

Within the objectives of the project to Strengthen Disaster Management System in Mongolia the project team prepared a number of documents toward policy making and planning such as proposals of “Law of Disaster Protection”, National Policy on Disaster Protection”, “National Program on Strengthening the Disaster Protection / Risk Management Capacity In Mongolia“, “Resource mobilization and material acquisition policy and plan /2010-2020/”, “Disaster Risk Assessment Methodology” and submitted to NEMA. Preceding exertions were samples of project team endeavours toward supporting the Government of Mongolia in building foundations of the Disaster Management System and fastening the process that is consistent with UNDAF objective to support the Mongolian Government to strengthen national capacity.

Moreover, the project team developed a proposal of forming National Disaster Risk Reduction Councils and submitted recommendations to NEMA, based on which the Disaster Risk Reduction Partnership Council has been formed and operated successfully. Furthermore, Local Disaster Risk Reduction Councils has been established near LGAs in some aimags.

A number of NEMA staff was prepared as professional instructors of Disaster Risk Management and 10 rescuers received international certificates of professional rescuers. Hence, NEMA staff was provided by high quality appliances and tools and learned skills to operate individually and in team during disasters and emergencies. With the duration of the third phase of the project the project staff developed and disseminated more than 10 guidebooks, handouts and recommendations.

Moreover, in the framework of building capacity the project defined equipment needs, procured and provided regional and aimag EMDs with necessary rescue equipments and appliances, matching international standards. For instance, in 2008 the project procured and handed NEMA divisions Chemhaz PPC and Testing/Monitoring equipments and clothes, chemical hazard clean up containers in amount of USD 125,500, in 2009- 11 VX1210 radio station and 2 UAZ-472 model vehicles, in 2010- 18 pieces of Motopumpo water pumpers worth USD 240,000.

Moreover, procured from Australia 18 Compressed Air Breathing Apparatus (CABA) masks and 27 bottles, fire fighting 42 overcoats, 24 trousers, 14 helmets, 14 boots, 14 jumpers, 8 set of jumpers' visors and ear protectors, 7 signal lights, tents and floor mats total worth AUD 41,650 and handed to NEMA divisions and rescue units.

This year the project aims to supply all fire fighting divisions in aimags and soums with water pumps.

From June 2008 to February 2010 the project conducted series of trainings and workshops on developing community- based disaster management within main stakeholders of the project to disseminate the main concept of cooperation against disaster risk. Around 992 people (with redundancies) participated including Member of DRRPC and Disaster Protection Headquarters, Emergency Commission of Soums and Khoroo to share knowledge on developing disaster risk reduction plans assessing potential risks in soums and khorooos.

In addition, within framework of providing small grants, 51 community groups received support from the project and successfully operate aiming disaster protection, preparedness and improvement of livelihood. This provides evidences that the objectives of the project to reduce vulnerability and improve preparedness to disasters, are achieved

At last, according to methodology provided by UNDAF, the evaluation team assessed the project effectiveness in the third phase of its implementation. Overall, 10 activities marked as Outstanding, 13- Excellent, 5- Good, 1- Satisfactory, 4-Not applicable for evaluation and no activities graded as Unsatisfactory and Poor. (See Annex 6)

Efficiency

Annual work plans are developed according to objectives and outputs of the project, discussed and corrected by the Project Board and approved by the National Project Director. Implementation and results of the plan are reported, assessed and discussed on PB meeting annually. Furthermore, using ATLAS system in financial planning and reporting aligns with requirements of financial regulation of the National Performance Guide, UNDP.

Annual work plan of the project is discussed and adjusted by NEMA administration, professionals and UNDP staff, accommodating possibility to reflect DRR main problems and objectives that assures actuality of the planning. Budget of the project is USD 2 million, which spent on planned activities such as training, procurement, research and monitoring, hiring international and national consultants, project administrative expenditures and staff expenditures respectfully.

All financial reports (general, income, assets, and cash flow) are audited by the National Auditing Agency annually. According to previous auditing report no conflicts were detected and the budget was used efficiently. /See the Audit report for 2008/. The project consists of 8 officers, 4 of which each are responsible for each output. The optimal structure of the project staff enables the project to operate efficiently and positively influence on the outcomes of project. (Facilitating positive outcomes)

The efficiency of budget utilization shall be defined by observing and analyzing how much money have been spent on each category that are trainings, books and manuals, research and monitoring works, procurement and consulting. However, due to lack of time and essential financial documents this indicator couldn't be defined.

Impact

The potential for the project to achieve its long-term goal and objectives is rated as *satisfactory*. According to opinion study of herder groups, 60 percent are committed to form groups or Nukhurluls (friendship) to contribute in environment conservation. Herder groups in Khentii, Bulgan, Khuvsgul aimags working hand-to-hand on fighting and reducing number of forest fires and developed long-term general plan on fighting with forest fire. Within 2 years a number of forest fire in 17th khoroo of Chingeltei district and Binder soum of Bulgan aimag have zeroed that confirms that the project is on the right way.

Since the project started citizens have gained knowledge about disaster protection, prevent, decrease disaster risks, vulnerability to disasters and damage. Herders have started to understand the importance of groups and Nukhurluls.

Finally, It is still early to predict the impacts that the project will have over the long-term on national, regional and local development in Mongolia and furthermore on the global environment, but initial results indicate that there is a good potential for achieving the project objective and goal.

Sustainability

This section discussed whether the outcomes (end of project results) and the positive impacts (long term results) are likely to continue after the project ends and if these results are/will be replicated throughout Mongolia. The potential for the long-term sustainability of the project achievements is good; it is rated as Satisfactory.

To facilitate sustainability of the project “Strengthening the Disaster Mitigation and Management System in Mongolia”, initiated by UNDP, the project staff designed and submitted a sustainability plan in January 2010 that was approved by the National Project Director and accepted by NEMA. The plan exhibits methods and recommendations on sustaining most project activities in 30 departments of NEMA, aimag and soum EMDs, 21 Local Governor Offices, targeted soums, and khoroos in the long-term after the end of the project.

According to project documents within the framework of policy and partnership a Risk Fund was created to enhance financial and economic sustainability of the Disaster Protection System and NEMA. The fund staff designs and implements long-term plans on collecting money and investments, through which inquires economic support from international organizations. Per observations in order to implement the NFA to Strengthen Disaster Protection capacity of Mongolia for 10 years, 3 billion MNT are required per year.

In addition to procure and provide NEMA with contemporary fire fighting equipments the Government of Mongolia has to invest 300 billion MNT in coming 20 years NEMA is available to function without support of the project. However, the budget provided by the Government of Mongolia to NEMA is too little. Almost equipments, appliances and tools utilized at Emergency Divisions and Rescue Units are outdated. Moreover, a supply of special equipments to execute search, secure of flammable items or chemicals, rescue and liquidation of consequences during and after

emergencies and disasters such as flood, explosion, accidents with chemical hazards, and earthquake is only 5-40 percent. Hence, the project is integral in facilitating all kind of trainings and in designing and implementation of long-term national policy, program and action plan by the Government and Parliament of Mongolia

In order to enhance further continuation of the project followings should be completed. They are: in order to implement MDGs UNDP has to give some support the Government of Mongolia in terms of the Natural Resource Management and note DRR issues in UNDAF documents/ 2012-2016/.

Within the framework of herders' partnership the project team organizes knowledge sharing campaign among community groups. The activity enables local administrations and groups with poor performances to share their experiences, learn ideas and skills from those with good performances, and put into practice. Moreover, inspires other communities to form groups. According to the survey from herder groups 40 percent of groups evaluated their group performance as excellent as to share their knowledge and skills. For instance, due to outstanding performance of Local Project Manager and community groups at Chingeltei district 17th khoroo, other citizens from 16th khoroo some ideas to form DRR groups.

Finally, despite a poorly elaborated sustainability strategy, the nature of most activities supported by the project is such that sustainability should not be an issue. The project is supporting changes, planning and policy making, at the national level and once these changes are made they should be sustained as part of the system.

In conclusion, most of the activities supported by the project should be sustained in the long-term. There is time to maximize this aspect of the project and a greater focus on sustainability is recommended during the second half of the project to maximize its long-term sustainability and also its long-term impact.

CONCLUSIONS

During external evaluation revealed that respondents were satisfied with project implementation.

Within policy making and planning framework

This project started in 2002 in order to provide support in improving legislation for disaster risk reduction. Thus the fact, that policy papers worked out within this project haven't been approved up to now, could be somehow related with instability or frequent change of management team of government agencies, inadequate knowledge of subject. Therefore project team should make awareness activities to adopt earlier developed policy papers.

Although Mongolia took a part in development of a Hyogo declaration, unfortunately up till today there isn't enough relevant actions taken to adopt long term and sustained commitments to building societies safer from disaster risks. The ultimate cause for this is lack of knowledge of government agencies, on the other hand low significance to the commitment given to international organizations. However project team is advocating translating the declaration to Mongolian language, government has unavoidable responsibility to take active actions for motivating and providing protection against disasters.

There is a critical need to improve coherence of long term policy papers and documentation. For instance goals of environmental protection and recovery, poverty reduction brought up in MDGs and National Development Strategy of Mongolia should be intimately aligned up with Disaster Risk Reduction and Protection policy.

Due to conditions such as unclear disaster management-related responsibilities, controversial information about disaster losses, undefined evaluation methods, low capacity of personnel to work during disaster, deficiency of equipments project started to provide some support. Remarkable support was provided within project activity, like risk assessment methodology has been developed and approved by Head of NEMA, 10% of NEMA personnel attended professional domestic and international trainings by project funding, professional rescuers started to be trained, resource base of NEMA has been strengthened. Approval of above mentioned policy

documents is significant for improvement of disaster management and statistical data, and also it is cohere with basic goals of “Strengthening the Disaster Mitigation and Management System” project.

Within Cooperation and partnership

Amendments made to Mongolian Disaster Management Law, Disaster Risk Reduction Partnership Council (DRRPC) has been established during project implementation. DRRPC have a responsibility to manage “Strengthening the Disaster Mitigation and Management System” project’s implementation, to coordinate domestic and international stakeholder’s activities, to report project implementation results to Government of Mongolia. DRRPC is coordinated by NEMA and steering working committees, responsible for overall project implementation, established from related ministry specialists.

Goal to strengthen a capacity of all level partners was set within project and some certain activities were organized during 2008-2010. In outcome 2 full-time staff was hired by NEMA as DRRPC coordinators and fully equipped. Also the project supported financially many activities such as international consultants were invited to conduct domestic trainings, personnel was sent to other countries to attend an international courses, equipments were purchased and foreign specialists gave a usage guidelines at site, and operating manuals have been distributed.

There are few DRR activities made within of project partnership between units especially ministries personnel. Whereas NGOs, particularly UN projects meetings on DRR was held and DRR preparedness plan was worked out. Also some actions on cooperation according National Plan and revealing donor organizations like NGOs were planed and implemented.

In order to strengthen awareness, education and trainings on DRRP the national awareness plan was redeveloped, started public awareness activities to improve knowledge on this topic. For instance, Disaster Protection Law book and guidebook was printed and some research works on disasters was conducted. Also in cooperation with Education Channel serial TV trainings were broadcasted and curricula course materials for primary and secondary school students were developed.

Summarizing all above project implemented many efficient provisions within project partnership. Even though, it is necessary to improve knowledge about DRR of partnering agencies and provide the information available to everyone.

It is impossible to make complete evaluation at mid-term stage according project DRRP evaluation criteria, thus we recommend defining on final evaluation.

Within Community-Based Disaster Risk Management

At community level emergency committees, headed by city or aimag governor, managing, implementing and reporting the DRR operations to DRRPC. As defined in Outcome 2.3 clause of project document in order to support DRRPC, totally 61 herders from 12 rural soums and 2 urban districts which represent six aimags and the capital city in four regions gathered into self help groups. The research on groups' present development was made. Support through following activities was provided to these groups:

- 992 people group consisting from local governors, group members, and DRRPC members attended trainings on topics such as disaster risk, poverty reduction, protection of natural resources, economic resilience. Community people gained ability to evaluate disaster risk, develop disaster plan, develop group action plan and evaluate the results of their work.
- USD 150,000 was budgeted for this activity and distribution of USD 50,000 was made in 2008, USD 28,000 in 2009 and USD 73,000 in 2010. 51 Nuhurlul and self help groups are successfully operating to DRR and self sustain their livelihood.
- Disaster Reduction Management manual was prepared and printed in 500 copies. 300 copies were already distributed to community people. It is unclear the evaluation criteria on usage and outcomes of this activity. The manual is considered to be well prepared but still additional awareness, introduction and trainings should be given to community.
- Project aimed to support sustain livelihood of community. Evaluation shows that some groups starting self sustain successfully by increasing their income and taking measures to protect environment. For instance groups haven't affected by last winter Dzud's and their loss was minimal.

While some units are cooperating productively, accumulating knowledge on minimizing loss of disaster, sharing experience with others, there are also units and SDRRPC who demands for more funding or implements indefinite activities. These shows that project implementation requires more control and selection of proper for the position of local coordinator.

Exterior Terminal evaluation results show that soum/khoroo level partnership development started but without additional financing there is no opportunity seen to increase the number of self-help groups. On other hand even funds are available; it creates harmful habit dependent on financial aid. Therefore conclusion could be made that DRRP have direct correlation with funding.

Within National Climate Risk Management (CRM) Strategy

Assist NEMA in development of National Climate Risk Management Strategy (NCRMS), as part of NFA 2008-2015. A consultative workshop was organized to discuss draft NCRM strategy in collaboration with key partners and donors, and the priority recommendations were drafted and followed up by delivery the Implementation Plan of NCRMS to NEMA on October, 2009. Although until now Implementation plan haven't approved by Mongolian Government. Regardless 3 regional trainings in cooperation with aimag's NEMA units were organized in framework of public awareness and education output.

Moreover project conducted a specific research on response and preparedness of people and organizations who receive weather forecast.

Also experiment was made collaborating with NEMA, Ministry of Food and Agriculture and Ministry of Environment and Tourism on early warning of natural disaster.

Conducted assessment and inventory of traditional responses to climate variability applied by farmers and herders in Mongolia that may include best practices and lessons learned, and produce their publication for dissemination of knowledge material on traditional climate adaptation strategies to most vulnerable communities and relevant NEMA Training centers, other training organizations as part of their training material.

Wide ranges of activities such as conservation the headsprings, placing a warning signs preventing of fire near forests, protecting own pasture from intruders by Nuhurluls and so on were held. Even so these are only the beginning and it's important to continue them in the future. Relative reduction of fire numbers caused by thunder and lightning or draught is resulted by increasing fire fighting ability of self-help groups.

Also local NEMA branches distributed fire extinguishing equipments to soums/duuregs which were something new to some, thus others already used to use these kinds of equipments depending on activeness of local NEMA branches.

During evaluation we have been acquainted with DPF established by groups which consist of 10 local families. DPF policy is including many highly relevant regulations such expenditure and reporting.

Project team evaluated their performance and stated that 70% of NCRMS activities should be performed in 4 years were accomplished at present.

RECOMMENDATIONS

Based on the findings of this mid-term evaluation, the following recommendations for the second half of the project are made; they are in no particular order:

To UNDP

- It is recommended that assessment of coherence among projects and programs initiated by UNDP has to be made. Objectives and scopes of projects are redundant so that local citizens understand projects as “money cow” and eager to rely on handouts from projects. Assessing and defining redundancies among project initiated and implemented by the National Development and Renovation Committee, Ministry of Social Welfare and Labor, Ministry of Food and Agriculture, and Ministry of Environment are critical.
- It is recommended to verify all technical requirements of procuring equipments with professionals who directly use them. Although the project made efforts in strengthening technical competencies of NEMA, some appliance don't possess requirements of professionals. Therefore, before procuring equipments the project staff has to ensure their usefulness on the field. In addition, UNDP can order evaluators to verify the efficiency of purchases.

To NEMA

- The budget given to EMDs is too modest. However relying only on the financial support from the government is not the only way. There are others for example asking support from donor countries. If so NEMA can use the 20/80 method in budgeting. Where 20 percent of all budget can be filled by the government financial support and rest (80 percent) of which could be carried out by foreign donors.
- If project management decides to continue the project, the next phase would concentrate on human resource and technical capacities of NEMA and its 30 departments. Depending on characteristics of local environment and disaster type expectations and satisfaction level of project beneficiaries will conflict.

Therefore, the project has to organize activities to reduce conflict of interests come to an agreement with stakeholders.

- The documents on strengthening disaster risk protection capacity were developed by the project staff; however the process of adopting by the parliament of Mongolia has been delayed. According to HFA “countries, where the framework is adopted, has to have coordinating government and very strong partnership system...” Within this act the government of Mongolia has to perform a key role in strengthening the disaster mitigation capacity.
- Within the framework of building international collaboration NEMA has to design and present a cooperation offer to UNDP and other donors and provide long-term strategic plan. Consequently, NEMA can have attention of other donors, and if fortunate receive grants from them.
- NEMA has to work on increasing ministry officers’ awareness and sensitivity to issues of Disaster Management. Arrange trainings for policy and planning director of ministries on possibilities of disaster occurrence and preparedness to disasters. In addition, develop policy documents on making disaster risk assessments on regular basis.

It is recommended that the project management team

- Aggressively support a campaign to promote policy documents that are designed and developed with the assistance of the project to higher ranked government officials, for instance Parliament and the Government members
- The project planning and budgeting were made taking into account time, price increase, and microeconomic influences.
- To nationally advertise and broadcast on regular basis project progress and achievements
- The project design and organizational structure are optimal. No need to change. It is recommended to continue the project after end of this phase (III). The next phase is advised to concentrate on improving knowledge and skills of local community groups to protect from disasters such as administering first aid and fighting with the fire
- Skills to protect and prevent from disasters are strongly correlated with livelihood of herders and citizens. The small grants provided to local groups

mostly concentrated on improvement of their livelihood than prevention from disasters. Hence, the project has to align its operations with objectives of other international organizations

- Develop a methodology to evaluate training results. An implementation of the methodology might encourage citizens, other local stakeholders to enthusiastically participate in the trainings. Organize integrated trainings or workshops enabling local community groups to meet and share their knowledge and skills, determine strengths and weaknesses of each other.
- Although a number of trainings and workshops for herders and local citizens have been made, a need to define effectiveness of trainings, improve quality of trainings, increase of productivity has raised. In collaboration with local administration, local EMDs and community groups prepare and organize training programs for youth about disaster Management, prepare for disasters and administer first-aid during emergencies. These campaigns should help give knowledge about DM.
- The project has to make disaster assessment, create database, define disaster type mostly had happened in that area and design specific disaster management structure for each area. Hence, activities toward the disaster will intensify, based on frequency of the disaster prepare recommendations and warnings; locate the area of the disaster, and direct attention of local citizens and local government investment policy to DM.

To local managers of the project

- First of all, there is a good prospective about future success of community groups since local citizens make efforts in DM by converting their community groups into legal entity and form funds toward strengthening disaster protection capacity.
- Local citizens have to learn secure themselves from disasters and survive in emergency situations without help of government agencies. Hence the project has to expand its training activities to increase mass awareness about DR.
- Local managers have to make more effort in increasing awareness of local citizens, who were not involved in the project, about project objectives and activities.

- Within the framework of project objective of building capacity in preventing from disasters the project managers have to collaborate with local administration, business entities, non government organizations, and local elders in rehabilitation of local environment, by protecting springs and planting trees. Moreover, using local media broadcast propaganda about disaster risk management.
- Disasters are categorized in two types, nature forced and human based. It is recommended to insert issues and policies about disasters and emergencies in local development policy. For instance, add acts about disaster risk in each and every project of infrastructure and urban development.

ANNEXES

Annex I

THE EVALUATION TEAM

Mrs. Munkhtuul Ch., Coordinator of the evaluation team, MBA

Since 1999 she has been working as a coordinator and team leader for more than 30 research and projects in cooperation with international organizations in the field of social, economic, marketing and management. Has extensive knowledge and skills in research, project planning and monitoring.

Prof. Oyuntungalag B., Consultant of the evaluation team, MBA, Marymount University, USA

Senior lecturer, The Marketing and Production Team, Computer Science and Management School, MUST, with more than 10 years of teaching and consulting experiences. She is a dynamic trainer and a task oriented instructor in achieving measurable improvements and attaining goals. Ms. Oyuntungalag B. has a diversity of experience and skills in developing marketing plans, research designs, questionnaire development, analysis, and a range of quantitative and qualitative methods. She worked on more than 10 projects and research works and published 20 articles.

Prof. Battuvshin G., Consultant of the evaluation team, MBA in Production Management

Senior Lecturer at the Finance and Economic Team, Management Department, CSMS, MUST since 2001. He has edited and published 5 books and worked on more than 20 research projects.

Burmaa Z., Consultant of the evaluation team, MBA

Director of Universal, has extensive knowledge and experiences in Marketing, communications and Project planning.

Bulgan T., Lawer

Bachelor of BA and Jurisprudence, attorney. Talented lawer with more than 10 years of experience and skills in the fields of civil law, civil rights, civil penalty cases, land law, criminal law and social welfare case.

Annex II

LIST of PERSONS INTERVIEWED

Name / Title	Organization / Location	Contact Information
MON/08/305 Project Principals		
1. Amgalanbayar Ts., Chief, NEMA, National Project Director 2. Namsrai D., Commissioner, Deputy Chief, NEMA and National Project Deputy Director	National Emergency Management Agency (NEMA), Ulaanbaatar	Partisan Street, Ulaanbaatar Tel: 976-11-327373
3. Ganbaatar A., Captain, Director of Finance, Economic and Services Department 4. Zaluukhuu S., Senior Captain, Director, Fire Fighting Department 5. Tsogtbaatar S., Commissioner, Director, Emergency Management Department 6. Ulambayar N., Colonel, Chief of staff, Rescue Special Unit 7. Professionals and bursars of the Rescue Special Unit #122	National Emergency Management Agency (NEMA) Special Rescue Unit #122 Special Rescue Unit #122	
8. Damtsagdorj A., Colonel, Chairman,	Emergency State Department of Chingeltei district	
9. Mr. Boldbaatar, Sh. National Project Manager 10. Prof. Tsedev P., Ph.D, Policy & Planning Officer, 11. Ms. Munkhjargal, National Climate Change Resilience and Adaptation officer 12. Mr. Khangarid, Partnership Officer 13. Ms. Baigalmaa P., Community Based Disaster Management Development Officer	MON/08/305 Project Office, National Emergency Management Authority (NEMA) MON/08/305 Project Consultants, Project Office, National Emergency Management Authority (NEMA)	Tel: 976-11-315595, Email: sh.boldbaatar@mongoliadisaster.org Tel: 976-11-315595, Email: secretary@mongoliadisaster.org
14. Ms. Enkhtsetseg S., Local manager, 15. Governor of Songino-Khairkhan district, 4 th khoroo 16. Local community leaders of Songino- Khairkhan district, 4 th khoroo	Songino khairkhan district, 4 th khoroo	Tel: 976-99771925, Email: enkhtsetseg_sandag@yahoo.com
17. Ms. Negenbayar R., Local manager, 18. Ms. Lkhagvaa, Deputy Governor, Chingeltei district, 17 th khoroo 19. Ms. Badam, Local community leader, Chingeltei district, 17 th khoroo	Chingeltei district, 17 th khoroo	Tel: 976-93221246, Email: negen_31@yahoo.com
20. Ms. Tungalag U., Environment Team Leader	United Nations in Mongolia, UNDP Mongolia	UN House, 12 United Nations Street, Ulaanbaatar 210646 Mongolia. Tel: 976-11

		327585
Local Officials/ Field Visit Contacts		
21. Mr. Batbold, Deputy Chairman, Emergency Management Division,	NEMA, Khentii aimag	
22. Mr. Bold G., Head of Governor's Office, Partnership Officer, 23. Mr. Tsogbat, Chair, Citizen's committee, 24. Mr. Gankhuyag, Project MON/05/305 staff, Local Coordinator 25. Mr. Gantumur D., Leader, 26. Mrs. Purevdulam G., Leader, 27. Mr. Altanhuyag, Chair,	Governor's Office, Jargalkhaan soum, Khentii aimag "Chuluut" community group, Jargalkhaan soum, Khentii aimag "Tavan-Erdene" community group, Disaster Management Division, Nature conservancy officer, Leader of Gurvanbayan community group	
28. Mr. Badrakh, Governor and Head of Emergency Management Division, 29. Mr. Uuganbayar, Head 30. Mr. Altankhundaga, Deputy Head	NEMA and Governor's Office Binder soum, Khentii aimag Emergency Management Division, Bulgan aimag	
31. Mr. Sergelen Ts., Project MON/08/305 staff, Local Coordinator, 32. Mr. Mendsaikhan L., Leader, Bayanburd community group, Binder soum	Binder soum, Khentii aimag "Bayanburd" community group	
33. Governor of Saikhan soum, Bulgan aimag 34. Mr. Tseren-Ochir, Project MON/08/305 staff, Local Coordinator,	Saikhan soum, Bulgan aimag	
35. Mr. Munkhbat J., Leader, "Ar bulag" community group, 36. Mr. Sansar-Ochir D., Project MON/08/305 staff, Local Coordinator, 37. Leaders and members of community groups at	Teshig Soum, Bulgan Aimag	

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- 77. Power Point notes: Progress report for 2008-2010, Ms. Baigalmaa P., Community Based Disaster Management Development Officer, MON/08/305 Project

C. BOOKS AND HANDBOOKS

- 78. Ganbold B., “Search and Rescue in the Water”, Ulaanbaatar, 2009
- 79. “Community based disaster risk management”, handbook, BCI Publishing, Ulaanbaatar 2010-10-09
- 80. “A guideline for national platform for reducing disaster risk”, BCI Publishing, Ulaanbaatar, 2009
- 81. “Reducing climate change and disaster risks”, study guide, BCI Publishing, Ulaanbaatar, 2009
- 82. “Preventing from forest fires”, guidebook, Soyombo Printing Co.Ltd., Ulaanbaatar, 2008

D. REPORTS FROM PROJECT LOCAL OFFICERS

- 83. Progress report from Altanhundaga, Deputy director of Emergency Management Division, Bulgan aimag
- 84. Progress report from Enkhtsetseg S., Local manager, Songino khairkhan district, 4th khoroo
- 85. Report from NEMA according to 5 evaluation criteria
- 86. Report from Gankhuyag, Project MON/05/305 staff, Local Coordinator, Jargaltkhaan soum, Khentii aimag
- 87. Report from Negenbayar R., Project MON/05/305 staff, Local Manager, Chingeltei district, 17th khoroo

Annex IV

**TERMS OF REFERENCE
MID-TERM EVALUATION
of
“Strengthening the Disaster Mitigation and Management System in
Mongolia” project, MON/08/305 (phase III)**

--To be conducted by a legal entity (3 members)--

I. BACKGROUND

The “Strengthening the Disaster Mitigation and Management System in Mongolia” project in the current Phase III (2008-2011), is the successor of the project Phase II (2005-2007).

One of the major accomplishments of the first project phase is the creation of the National Emergency Management Agency (NEMA). Prior to the establishment of NEMA, a civil institution, the State Board of Civil Defense were in charge of emergency related matters. The project contributed largely to the transformation of the national organization for disaster response from a military to civil organization and laid the groundwork for phase II.

The project in its phase II achieved the draft of the National Framework on Disaster Risk Reduction (NFA) and National Action Plan, support to the implementation of the “Law on Disaster Protection”, training and capacity building of NEMA and its 30 local branches, establishment of the Disaster Risk Reduction Partnership Councils in eight soums of four aimags, preparation of the “National Program on Public Awareness for Disaster Prevention” and technical assistance and investment through the Project to improve the disaster communication and information system, to renovate the disaster warning and forecasting system, to set up investigation and rescue groups for disaster phases, and to establish the Emergency Management Center and stabilize its activities.

Project phase III started in 2008 with the main objectives to:

1. Support implementation of the long-term strategy of Mongolia for disaster risk management to minimize vulnerability
2. Improve preparedness and enhance institutional capacity for disaster management and emergency response
3. Assist in adapting to climate change that adversely affects sustainable development of the country, especially those in the rural environments.

The project is funded by the Government of Luxembourg and the United Nations Development Programme (UNDP). It started in April 2008 and will end in December 2011.

II. OBJECTIVES

UNDP Country Office in Mongolia is initiating this evaluation to determine to what extend the project has achieved its objectives during the project mid-term; any progress has been accomplished during the first half implementation of the project. This includes the assessment and recommendation on the project’s Exit Strategy and the degree to which capacity of NEMA was strengthened through project’s activities, to which extend Policy and planning, National Disaster Mitigation and Risk Reduction Partnership, Climate Risk Management and Community based Disaster Management work and recommendations for immediate actions.

III. SCOPE OF WORK

An Evaluation team is assigned to do the following work:

1) Review project documents. A (Pls change it as Evaluation everywhere) team should review all relevant legal and policy documents, which are developed by the project facilitation and assess the changes in the capacity of the government institutions. Interviews and meetings with various stakeholders, professionals and field visits of the project target areas will add important information to the evaluation.

The key stakeholders to be interviewed include:

1. NEMA
2. UNDP
3. MoNET
4. Representatives of the local Government authorities at both aimag and soum levels
5. Local Partnership Council members
6. Community groups, herder families

The following documents will be mandatory for the review and evaluation:

- Project document
- Project board meeting minutes
- Audit reports
- Annual reports
- Financial reports
- Mission reports
- Law on Disaster Protection of Mongolia
- Draft National Programme on Strengthening the Disaster Protection Capacity in Mongolia (2010-2020)
- Draft Action Plan for Implementation of the National Programme (2010-2020)
- Draft National Strategy for Climate Risk Management and Action Plan (2010-2021)
- All annual work plans of the project
- Donor reports
- Others (meeting minutes, correspondence and TORs as needed)

2) Undertake an evaluation which should reflect the following information as:

- a. Validation of project design and its relevance
- b. Assessment of project progress and effectiveness towards four expected project outcomes/outputs, including budget

3) Provide recommendations on:

- Potential adjustments in design or implementation approach for achieving the Exit Strategy
- Improved management and coordination for achieving the Exit Strategy
- Ensuring sustainability of the Exit Strategy

IV. DELIVERABLES

1. WORKPLAN- It should be submitted within 5 w/d upon start of the assignment . The workplan will outline team structure (team leader, members responsible for 4 outcomes), preliminary findings and methodologies proposed for the assessment (e.g., further timeline, approach and methodology) to complete the project's mid-term evaluation.

2. Draft MID-TERM TERM EVALUATION REPORT – The first draft of the evaluation shall be submitted to NEMA and UNDP Mongolia Country Office before 20 days of the contract period ending. Feedbacks provided by NEMA and UNDP Country Office should be incorporated into the draft by the national consultant team within 5 working days upon receipt of the comments.

3. Final MID-TERM EVALUATION REPORT - This is the key output of the assignment and deadline for submitting the final document is 5 working days prior to the end of the contract period. The National consultant team should submit the final version of the evaluation report in electronic and hard forms to NEMA, UNDP Mongolia Country Office.

The following topics should be necessary components of the evaluation report:

1. *Executive summary*
2. *Introduction*
3. *Background (by each 4 outcomes)*
4. *Evaluation methodology and materials (by each 4 outcomes)*
5. *Results, findings and analysis (by each 4 outcomes)*
6. *Conclusions (by each 4 outcomes)*
7. *Recommendations (by each 4 outcomes)*

The report has to be submitted in the English and the Mongolian languages. It shall not exceed 50 pages in total. (Annexes included or no???)

V. DURATION AND TIMING

The evaluation shall be undertaken for 1.5 month during 27 August, 2010 – 05 October, 2010.

Tentative implementation arrangements:

N o	Tasks	Respon- sible parties	1 st half of 1W	1W	2W	3W	4W
1	Meeting with project personnel and development of workplan	Evaluation Team					
2	Review literature, conduct meetings	ET					
3	Field visits	ET Project unit					
4	Submission of draft report	ET					
5	Finalization and submission of final report	ET					

You mentioned 1.5 month job, but, the table says 1 month.

VI. MANAGEMENT ARRANGEMENTS

Management Arrangements:

The national consultant team will conduct necessary arrangements for performing the tasks outlined in this TOR. He/she will be responsible for consolidating a final report with a full set of annexes.

The national consultant team will be responsible to the NEMA and UNDP Mongolia and will report to the National Project Director (NPD), UNDP, project unit and a representative of the NEMA on the status of the work.

The NEMA, UNDP and project unit hold the copyright of the assignment outputs.

The present TORs may be adjusted and modified, without changing the overall objective and the scope of work, on the basis of consultations.

Payment modality and schedule:

The UNDP standard method of payment is the output-based lump-sum scheme and the payment will be made in two installments upon satisfactory completion of the following deliverables:

1st installment – 40% upon submission of a draft mid-term evaluation report.

2nd installment – 60% upon submission of the final mid-term evaluation with full set of annexes.

Evaluation criteria and weight:

Experts will be evaluated against combination of technical and financial criteria. Maximum obtainable score is 100, out of which the total score for technical criteria equals to 70 and for financial criteria – to 30.

As for the technical evaluation, the following aspects will be considered:

Practical previous experience relevant to the announced TOR – 40%

English language fluency in both oral and written – 40%

Previous experience working with international organizations -20%

* The financial proposal should have a breakdown of consultancy fee that is expected to be incurred (except travel expenses to the countryside).

Competencies:

- English language fluency;
- Sound analytical and organizational skills;
- Good capacities for strategic thinking and planning;
- Good attention to details;

VII. REQUIRED SKILLS AND EXPERIENCES

- Fluency of English both in oral and written skills
- Have at least 5 years of previous experience in project evaluation
- Have a previous experience working with UNDP and/or other international organizations
- Willingness to travel to rural areas in Mongolia

VIII. SUBMITTING DOCUMENT

1. Technical proposal:

- Copy of legal entity certification
- Letter of Interest to prepare to conduct the assignment
- Proposed work plan, mid-term evaluation methodology
- CVs of team members (including relevant work experience and qualifications)

2. Financial proposal:

Proposed price to conduct the assignment

The technical proposal, developed in **English**, should be submitted in an envelope, with the financial proposal in a separate envelope no later than **11AM of Thursday, 15 July, 2010** to the address below.

PERFORMANCE ASSESSMENT

Annex V

	<i>Excellent(6), Good(5), Satisfactory(4), Unsatisfactory(3), Poor(2), Inferior(1), Not Applicable(0) (Please see page 16)</i>				
	EXPECTED OUTPUTS AND INDICATORS	PLANNED ACTIVITIES	RESULTS/INDICATORS OF ACTIVITIES	ASSESSMENT	EXPLANATION
	Output 1.1: Implementation of a Multi-Year Phased National Implementation Plan for the NFA is supported. Target for 2008 NFA approved, Completed draft NIP Target for 2009 NFA/NIP training completed for entire NEMA personnel Target for 2010 First internal review conducted. Target for 2011 First independent review conducted.	1.1.1. Assist NEMA to develop/update a five-year national implementation plan (NIP), with annual work programmes of NFA subject to annual review and adjustments.	Updated and approved NFA Approved NIP for 5 years AWP of NIP for each year NPS as part of NIP developed, and approved.	Good (5)	NFA, NIP and NPS haven't been approved yet The project staff developed above mentioned policy documents and submitted to NEMA and the Gov. Of Mongolia. The parliament haven't approved the yet, however the documents are on #62 of the list to be reviewed documents.
		1.1.2. Conduct series of training to introduce NFA, assist in clarification of roles and responsibilities as part of NPS development for implementing the NIP using master trainers prepared during Phase II, for all NEMA personnel,, key sectoral personnel and other local stakeholders.	No of NEMA personnel trained. Produced and continuously applied training package Progress/delivery of NIP AWP implementation	Excellent (6)	Training officers of 21 aimags EMDs were trained and received authorized instructors' certificates. 25 instructors of DM were prepared 2 compiled books of DM laws and legislations were published
		1.1.3. Support implementation of the national plan in those areas where NEMA lacks both technical and financial capacities.	Percentage increase of technical provision at NEMA through procurement of basic equipment	Excellent (6)	The Procurement plan has been developed and approved
		1.1.4. Assist NEMA to design and conduct an internal review and analysis process to monitor progress for the implementation of both NFA and NIP, and conduct independent evaluation of the NFA implementation.	Reports of annual review Reports of independent evaluation of NIP Reports on Follow-up actions Audit reports	Good (5)	Financial Auditing Report for 2008, AWR for 2008, 2009 and first 2 quarters 2010 were developed according to related policies. Midterm independent evaluation is ongoing.
	Output 1.2: Resource mobilization and material support strategy for national disaster mitigation and	1.2.1. Provide support in creation of <u>resource mobilization and material acquisition policy and plan</u> related to the NFA. <u>conduct inventory of current equipment/materials</u> , <u>identify technical/material needs</u> by functions.	drafted and approved RMMA policy and Plan Report of baseline inventory of equipment/material with identified needs	Good (5)	RMMAPP report on national disaster management, capacity and procurement needs was developed

	management with its action plan is developed and their implementation is supported. Target for 2008 RMMA policy and Plan drafted. Target for 2009 Priority technical needs of aimag NEMA s addressed. Target for 2010 Priority Needs of Regional centres addressed. Target for 2011 At least 20% of needed Resource is mobilized.	1.2.2. Provide Aimag/duureg NEMA branches with modern emergency management equipment/tools and protective clothing, which meet international quality standards.	No. of Aimag/District NEMA provided with basic equipment Increased ability to respond emergencies due to supplied equipment/tools	Excellent (6)	<ul style="list-style-type: none"> •Procured and provided to NEMA divisions Chemhaz PPC and Testing/ Monitoring equipments and clothes, chemical hazard clean up containers worth USD 124,500, •11 VX1210 manpack radio station and 2 UAZ-472 model vehicles, in 2010- 18 pieces of Motopumpo water pumpers in amount of USD 240,000. •Procured from Australia 18 Compressed Air Breathing Apparatus (CABA) masks and 27 bottles, fire fighting 42 overcoats, 24 trousers, 14 helmets, 14 boots, 14 jumpers, 8 set of jumpers' visors and ear protectors, 7 signal lights, tents and floor mats total worth AUD 41,650.
		1.2.3. An appeal for international contributions is undertaken with the proviso that equipment comes with skills development.	No. of Regional NEMA Centres provided with basic equipment Their increased ability to respond emergencies due to supplied equipment/tools % of supplied equipment/materials against RMMA Plan	Excellent (6)	Manual and Handouts for training on ChemHaz were developed Procured and supplied NEMA with necessary eqiompments according to plans.
	Output 1.3: National Research capacity including NEMA's is enhanced to assume duties to conduct required risk assessments, develop disaster management plans and set standard operating procedures to effectively deal with emergencies. Target for 2008 Methodology for Priority assessments completed with necessary baseline info.	1.3.1. Support in developing assessment methods for the range of hazards and to map these components to provide a basis of a structured disaster risk reduction approach.	Approved Methodology for at least 4 priority assessments	Excellent (6)	Developed Disaster Risk Assessment Methodology manual Sections on earthquake, flooding, fire and chemical hazard spread were inserted in the report on developing Disaster Risk Assessment Methodology.
		1.3.2. Train national researchers and relevant professionals, NEMA staff to conduct these assessments, to formulate disaster management plans that meet the principal requirements for local DRR measures. Guidelines for conducting assessments are prepared. The assessment reviews the special situation of vulnerable groups (including women) into account.	No of trainees, organizations. Produced and continuously applied training package Published Guidelines Approved and being implemented DMPs at different levels	Satisfactory (4)	38 chem-recuers 22 chem-rescuers received advanced training Personnel of the Disaster Assessment Department were trained No constant training program has detected
	Target for 2009 Training started for professionals. Target for 2010 Training completed for	1.3.3. Provide support for conducting priority assessments in both urban and rural areas (project target areas) to identify, map and assess likely impacts of key natural and human-made hazards	Reports of priority assessment in at least four types of hazards that include: 1. Earthquake, 2. Flood, 3. CC related hazards, 4. Chemicals	Good (5)	Sections on earthquake, flooding, fire and chemical hazard spread were inserted in the report on developing Disaster Risk Assessment Methodology.

	NEMA personnel and others. Priority assessments completed. Target for 2011 Update of key standard operating procedures completed and applied.	1.3.4. Review and update Standard Operating procedures developed for Search and Rescue, on emergency communication, technical supply, personnel protection equipment, and immediate response to key disaster scenarios.	Approved and applied SOPs for <ul style="list-style-type: none"> Search & Rescue Emergency Communication Technical supply PPE Immediate response to key emergency scenarios etc. 	Good (5)	SOPs are approved and has applied
	Output 2.1: NEMA partnerships at all levels are strengthened. Target for 2008 NEMA partnership structure is established. Other partners' roles in NFA/NIP are agreed/committed. Target for 2009, 2010 Partners are contributing to NFA/NIP Target for 2011 At least 20% of needed Resource is mobilized.	2.1.1. Assist NEMA to sustain a vertical structure responsible for domestic and international partnership affairs to increase its resource mobilization and operational networking capacity.	Functioning focal points at NEMA HQ responsible for domestic and international partnerships Functions of Partnership Officer are reflected in JDs of relevant staff at all aimag/district NEMA trained Partnership Officers able to perform their duties through partnership skills development program	Unsatisfactory (1) Not applicable (0)	No documents on this matter have been detected Not applicable for midterm evaluation This category shall be assessed in the final evaluation of the project
		2.1.2. Identify and invite specific agencies including NGOs and research, and donor organizations to partner with NEMA on designated activities of NIP of NFA.	Clearly specified and agreed roles and commitments of other organizations in NIP and AWP Annual report on implementation of their duties/contributions to NIP AWP	NA (0)	Not applicable for midterm evaluation
		2.1.3. Support NEMA to conduct and host <i>incoming</i> study tours for other selected countries for mutual review of mitigation and disaster management experience, and to showcase Mongolia's own sustained efforts.	Reports of Study tours with feedback of guests and outcomes no. of partnering organizations under various agreement, contributing to capacity building in the forms of in kind, donations, and cash funds	NA (0)	Not enough documents evidencing performance and achievements of this matter. No reports of Study tours with feedback found
		2.1.4. Improve government and UN partnership for DRR in Mongolia through established UN Theme Group to coordinate activities of UN agencies in the field, and assigned a focal point to act as a Secretary to UNTG, and closely liaise with UN agencies	Functioning UN TG assisting Government efforts for DRR More harmonized UN action on any emergencies where UN support requested by the Government	Unsatisfactory (1)	Not enough sources to conclude that the project facilitated a partnership between UN and the Gov. Of Mongolia. Moreover, that the policy documents haven't been approved forces the evaluation team to give this rate to the category.
	Output 2.2: Public awareness and education and training for DRR are improved. Target for 2008 NPAP updated and approved. Baseline study completed. Target for 2009 Training material preparation started. Development of education	2.2.1. Assist NEMA to update and improve National Public Awareness Plan developed during Phase II, and support its implementation.	Approved NPAP, and its implementation report Increased awareness of the citizen verified by various questionnaires, and/or case studies	NA (0)	The criteria weren't applicable to evaluate. Not enough data on activities toward increasing public awareness, promoting the project principles.
		2.2.2. Support NEMA in developing a basic body of training materials for public awareness through media, including technical support provided by partner organizations/ministries for building training material resources.	No. of materials produced No. and frequency of application of the produced materials No. trained personnel, and visitors of training centres Case studies confirming improved public awareness, better preparedness for disasters	Satisfactory (4)	Although number of training materials and participants is big, there's no data proving that trainings were fruitful, feedback tests haven't been performed

	<p>materials, standards started.</p> <p>Target for 2010 Training material for PA produced, application started. National curricula approved, applied.</p> <p>Target for 2011 Impact assessment is conducted against 2008 baselines.</p>	2.2.3. Develop existing education standards into national curricula course materials for primary and secondary school students.	<p>Approved curricula on DRM for secondary education</p> <p>Published and applied textbooks of DRM, and teacher book containing Training manual for trainers</p> <p>Results of Impact Assessment</p>	Satisfactory (4)	Although the project staff developed the first draft of the National Disaster Risk Reduction Education Program and officially submitted to NEMA for their inputs, haven't received an approval from MOECS yet. The project has to work hard on this matter.
	Output 2.3: Local communities in both rural and urban areas have strengthened their disaster resilience through systematic capacity building support, and are able to partner with Soum authorities undertaking necessary measures for preparedness, response and mitigation of disaster risks within their capacity.	2.3.1. Replicate functions of Soum Disaster Risk Reduction Partnership Councils (DRRPC) to assist Soum Emergency Committee for ensuring adequate disaster preparedness/response, and established cooperation network with soum herder groups.	<p>At least 60% of the soum/khoroos households aware of functioning Soum/Khoroos DRRPC</p> <p>Well functioning DRRPC in at least 10 target localities with agreed bylaws, regular meeting, AWP, and reports, funds and public control</p>	Good (5)	6 community groups of herders 4 nukhurluls DRRPCs were established in 11 soums and 2 khoroos
		2.3.2. Assist development and implementation of Soum/Khoroos Disaster Preparedness Plan, and facilitate formation of Soum/Khoroos Disaster Preparedness Fund administered by Soum DRRPC, and its function and transparency to soum stakeholders.	<p>Cases of better responses to emergencies in their areas</p> <p>At least 60% of the soum/khoroos households aware of functioning Soum/Khoroos DPFund, and its beneficiaries, and their access to the fund</p>	Good (5)	The provided small grants to community groups 980 received trainings on ER
	Target for 2008 Baseline assessment is conducted for CBDM in 14 areas. Establishment of 14 DRRPC completed. DRRPlans are developed.	2.3.3. Encourage formation of herder/urban self help groups as CBDM units, and for them to pursue organizational development practices, formalize their collective actions.	<p>At least 40 well functioning CBDMUs in 14 localities able to assist local DRRPC and Emergency Committees during emergencies.</p> <p>Collectively improved their livelihood, and contributed to poverty alleviation</p>	Good (5)	
	<p>Target for 2009 Necessary DM training for CBDM units completed. Priority skills training completed.</p> <p>Target for 2010 Institutional setting of CBDMUs completed.</p> <p>Target for 2011 40 CBDM units established, and able to sustain their functions. Impact assessment is conducted to verify results.</p>	2.3.4. Assist the most promising Nukhurluls (herder groups) to have their own mobile/ger Information Centre where they can have meetings, training, and other collective activities.	<p>No. of cases for better responses to emergencies</p> <p>No. beneficiaries from established mobile training & information centres</p> <p>Increased awareness of communities for DRR verified by various questionnaires, and surveys.</p> <p>No. of visitors coming to learn from their experiences</p> <p>Health status of pasture lands</p> <p>No. livestock against pasture carrying capacity</p> <p>No. structures/fences built by their own resources to better respond to emergencies</p>	Good (5)	Herder groups built fence and facilities to protect from disasters (observations during field visits) and many other efforts have been done by community groups in Ulaanbaatar city area

	Output 2.4: Supporting structures for Community-based disaster management are set at related NEMA branches and Soum Government level, and are capable for coordinating government DRR efforts with initiatives of CBDM groups. Target for 2008 Working mechanism is set.	2.4.1. Support in laying out a working mechanism between community groups, Soum/Duureg Emergency Unit, Soum/Duureg DRRPC, and Aimag/Duureg NEMA department (Partnership staff) to coordinate, plan, and report on their collaborative efforts towards DRR at soum level	Work with CBDMUs is part of AWP of Aimag/District NEMA Necessary budget allocated for working with CBDMUs	Good (5)	Funds were allocated, yet control over spending was inadequate
		2.4.2. Develop NEMA regional training capacities for specific technical advice and mobile training at soum/khoroo and bagh levels to enhance capacities of existing CBDM groups.	Applied Training manual on how to work with CBDMUs, DRRPCs, and local Emergency Committees Regular guidance provided by Trained NEMA staffs Regular training is budgeted and organized by NEMA for CBDMUs and DRRPCs.	Satisfactory (4)	The manual was developed and published, and trainings are organized on a regular basis. Whether prepared professionals were provided by necessary updated instructions and manuals was unclear
	Target for 2009 Mechanism is regular and sustainable. Management of SGrants is set. Target for 2010 Basic needs of Regional centres addressed. Small grants provided. Target for 2011 40 CBDM units established, and able to assist local NEMA functions.	2.4.3. Identify or outsource project management capacity to administer small grant incentives in line with Soum/Khoroo DPP and Workplan of CBDM unit	30-40 % of cost sharing of SGs by CBDMUs paid back to DPF NEMA POs have skills for selecting awardees for SGs against set criteria At least 30 CBDMUs and 7 DRRPCs that benefited from SG to improve their disaster resilience and livelihood No. households with improved livelihood No. structures/fences built by CBDMUs to better respond to emergencies No. of cases of better responses to emergencies	Excellent (6)	Although the category is on the early stage, the management and performance were excellent
	Output 3.1: National Climate Risk Management (NCRM) Strategy is developed, and capacity for its implementation is strengthened. Target for 2008 NCRMS with MYIP is drafted.	3.1.1. Assist NEMA in development of National Climate Risk Management Strategy (NCRMS), as part of NFA 2006-2015. A consultative workshop will be organized to discuss draft NCRM strategy.	Approved and being implemented NCRMS, and MYIP	Excellent (6)	The strategy was developed Round table meeting is conducted with participation of 7 ministries (including key stakeholder NEMA), UNDP CO, NC and team members
	Target for 2009 NCRMS with MYIP is approved, implementation started.	3.1.2. Formulate a multi-year implementation plan of NCRMS to be jointly implemented by three institutions with clear division of roles/responsibilities, targets/indicators, and financing mechanisms.	Necessary baseline studies and Impact assessments conducted to prioritize risk reduction, and adaptation measures. Additional funds are sought for these studies.	Good (5)	A baseline study on Climate Risk was conducted.
	5 Regional training conducted. Target for 2010, 2011 First 2 year plans implemented, and Progress Review conducted.	3.1.3. Assist NEMA to function as a Focal point for implementation of the plan in formulating Annual workplan, setting regular review of the progress, and mobilising funds for subsequent year activities etc.	Two Annual reviews of MYIP are conducted.	Good (5)	An early warning activity at the local level is introduced to IC and provided by recommendations on it
		3.1.4. Conduct 5 regional training for Aimag level staff of the three institutions to commence joint activities in the Implementation Plan of NCRMS at local levels, and incorporate them into local policy and planning.	Approved and being implemented Regional/Aimag level CRMS and Plans, and Annual reports submitted to NEMA HQ.	Excellent (6)	In 3 regions from 5 trainings were conducted

	Output 3.2: Public awareness and education to support implementation of National Climate Risk Management Strategy are increased.	3.2.1. Conduct assessment and <u>inventory of traditional responses to climate variability</u> applied by farmers and herders in Mongolia and produce their publication for dissemination of knowledge material.	Published and distributed Knowledge material	Excellent (6)	A number of books and manuals like "Traditional knowledge" were developed and published.
	Target for 2008 Assessment is completed with indicators of baseline data.	3.2.2. Prepare a range of <u>knowledge and educational products</u> for dissemination and use in various media and training institutions/NGOs to build awareness of the linkage between climate change and disaster risks in Mongolia.	Published and disseminated Education packages for three target groups: 1. government officials/non professionals, 2. local communities/citizens, 3. NEMA personnel/professionals	Good (5)	Handbooks such as "Climate variability" and Search and Rescue in the Water" were published and disseminated
	Target for 2009 Knowledge product is completed. Training program made, and approved. Target for 2010 Knowledge product published, disseminated. Training program delivered. Target for 2011 Final impact assessment is conducted to measure public awareness/education.	3.2.3. Develop and implement a <u>training program on climate risk management and disaster risk reduction</u> for 1) bag, soum and aimag government officials, and 2) rural residents/herders, and urban residents 3) NEMA personnel. The project will assist in delivering basic training on <u>climate change adaptation</u> (risks and opportunities) and introductory climate risk management for farmer and herder groups in target 12 soums	Approved and applied training programs for three different targets. Increased knowledge of CRM of these target groups No. cases where CRM is reflected in local planning, and NEMA planning, and local DMPs of CBDMUs No. adaptation measures taken by CBDMUs No. well resulted adaptation measures	Excellent (6)	<ul style="list-style-type: none"> • Training curriculum content and its feature on traditional knowledge is developed and delivered to the NEMA with reports and recommendations. • TV lesson to increase public awareness and education to support herders knowledge on traditional knowledge to tackle with climate change is prepared by "Education-channel" TV nationwide
AVERAGE				4.8 GOOD & SATISFACTORY	

Annex VI

EVALUATION MATRIX

The evaluation matrix below serves as a general guide for the evaluation. It provides directions for the evaluation; particularly for the collect of relevant data. It will be used as a basis for interviewing people and reviewing project documents. It also provided a basis for structuring the evaluation report as a whole.

No.	<i>Evaluated component</i>	Sub-Question	Indicators	Sources	Data Collection Method
1	Evaluation Criteria: Relevance- How does the Project relate to the main objectives of the UNDP, NEMA and to the development challenges faced by the Government of Mongolia for DRM?				
1.1	<i>Is the Project relevant to UNDP and NEMA objectives</i>	How does the Project support the objectives of UNDP	<ul style="list-style-type: none"> • Level of coherence between project objectives and those of the UNDP • Existence of a clear relationship between the project objectives and sustainable development objectives of UNDP • Existence of a clear relationship between the project objectives and UNDP Strategic Results Framework 	<ul style="list-style-type: none"> • Project documents National policies and strategies to implement SDMMMS-III • Key government officials and other partners UNDP and NEMA websites 	<ul style="list-style-type: none"> • Documents analyses • Interviews with relevant stakeholders
1.2	<i>Is the Project relevant to Mongolia development objectives?</i>	<ul style="list-style-type: none"> • How does the Project support the objectives of the NEMA, disaster risk reduction policies • How does the Project support the objectives of the development of Mongolia? • How country driven is the Project? • Does the Project adequately take into account the national realities, both in terms of institutional framework and programming, in its design and its implementation? • To what extent were national partners involved in the design of the Project? 	<ul style="list-style-type: none"> • Degree to which the project support national DRM objectives • Degree of coherence between the project and national priorities, policies and strategies • Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities? • Level of involvement of Government officials and other partners into the project • Coherence between needs expressed by national stakeholders and UNDP -SDMMMS-III criteria 	<ul style="list-style-type: none"> • Project documents National policies and strategies on DRR • Key government officials and other partners UNDP and NEMA websites 	<ul style="list-style-type: none"> • Documents analyses • Interviews with relevant stakeholders

1.3	Is the Project addressing the needs of target beneficiaries?	<ul style="list-style-type: none"> • How does the Project support the needs of target beneficiaries; including the landowners, farmers? • Is the implementation of the Project been inclusive of all relevant Stakeholders? • Are local beneficiaries and stakeholders adequately involved in Project design and implementation? 	<ul style="list-style-type: none"> • Strength of the link between expected results from the Project and the needs of target beneficiaries • Degree of involvement and inclusiveness of beneficiaries and stakeholders in Project design and implementation 	<ul style="list-style-type: none"> • Project documents National policies and strategies on DRR • Key government officials and other partners UNDP and NEMA websites 	<ul style="list-style-type: none"> • Documents analyses • Interviews with government officials and partners
1.4	Is the Project internally coherent in its design?	<ul style="list-style-type: none"> • Is there a direct and strong link between expected results of the Project (log frame) and the Project design (in terms of Project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc)? • Is the length of the Project conducting to achieve Project outcomes? 	<ul style="list-style-type: none"> • Level of coherence between Project expected results and Project design internal logic • Level of coherence between project design and project implementation approach 	<ul style="list-style-type: none"> • Program and Project documents • Key project stakeholders 	<ul style="list-style-type: none"> • Document analysis • Key Interviews
1.5	Future directions for similar Projects	<ul style="list-style-type: none"> • What lessons have been learnt and what changes could have been made to the Project in order to strengthen the alignment between the Project and the Partners' priorities and areas of focus? • How could the Project better target and address the priorities and development challenges of targeted beneficiaries? 		Data collected throughout evaluation	<ul style="list-style-type: none"> • Data analysis
2	Evaluation Criteria: Effectiveness- To what extent are the expected outcomes of the Project being achieved?				

2.1	How is the Project effective in achieving its expected outcomes?	<ul style="list-style-type: none"> • Is the Project being effective in building capacity for NEMA through the achievement of its expected outcomes: <ul style="list-style-type: none"> o Sound state disaster protection policy and a comprehensive legal and regulatory framework for disaster risk management; o National Disaster Mitigation and Risk Reduction Partnership strengthened; o Community-based disaster management (CBDM) strengthened; o Climate Risk Management implemented 	<ul style="list-style-type: none"> • Change in SDMMs-III practices • Change in capacity for information management: Knowledge acquisition and sharing; Effective data gathering, methods and procedures for reporting on disaster risk • Change in capacity for awareness raising <ul style="list-style-type: none"> o Stakeholder involvement and government awareness o Change in local stakeholder behavior • Change in capacity in policy making and planning <ul style="list-style-type: none"> o Legislation/regulation change to improve DRPM o Development of national and local strategies and plans supporting NEMA • Change in capacity in implementation and enforcement <ul style="list-style-type: none"> o Design and implementation of risk assessments o Implementation of national and local strategies and action plans through adequate <ul style="list-style-type: none"> o institutional frameworks and their maintenance o Monitoring and evaluation • Change in capacity in mobilizing resources <ul style="list-style-type: none"> o Leverage of resources <ul style="list-style-type: none"> o human resources o appropriate practices o mobilization of advisory services 	<ul style="list-style-type: none"> • Project documents • Key stakeholders • Research findings 	<ul style="list-style-type: none"> • Documents analysis • Meetings with main Project Partners including UNDP, Project Team, Gov. of Mongolia and other Partners • Interviews with project beneficiaries
2.2	How is risk and risk mitigation being managed?	<ul style="list-style-type: none"> • How well are risks and assumptions being managed? • What was the quality of risk mitigation strategies developed? Were these sufficient? • Are there clear strategies for risk mitigation related with long term sustainability of the project? 	<ul style="list-style-type: none"> • Completeness of risk identification and assumptions during Project planning • Quality of existing information systems in place to identify emerging risks and other issues? • Quality of risk mitigations strategies developed and followed 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP and project staff and Project Partners 	<ul style="list-style-type: none"> • Document analysis • Interviews
2.3	Future directions for similar Projects	<ul style="list-style-type: none"> • What lessons have been learnt for the Project to achieve its outcomes? • What changes could have been made (if any) to the design of the Project in order to improve the achievement of the Project' expected results? • How could the Project be more effective in achieving its results? 		<ul style="list-style-type: none"> • Data collected throughout evaluation 	<ul style="list-style-type: none"> • Data analysis
3	Evaluation criteria: Efficiency - How efficiently is the Project implemented?				

3.1	Is Project support channeled in an efficient way?	<ul style="list-style-type: none"> • Was adaptive management used or needed to ensure efficient resource use? • Did the Project logical framework and work plans and any changes made to them use as management tools during implementation? • Were the accounting and financial systems in place adequate for Project management and producing accurate and timely financial information? • Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? • Was Project implementation as cost effective as originally proposed (planned vs. actual) • Was the leveraging of funds (co-financing) happened as planned? • Were financial resources utilized efficiently? Could financial resources have been used more efficiently? • How was RBM used during program and Project implementation? • Were there an institutionalized or informal feedback or dissemination mechanisms to ensure that findings, lessons learned and recommendations pertaining to Project design and implementation effectiveness were shared among Project stakeholders, UNDP and NEMA Staff and other relevant organizations for ongoing Project adjustment and improvement? • Did the Project mainstream gender considerations into its implementation? 	<ul style="list-style-type: none"> • Availability and quality of financial and progress reports • Level of discrepancy between planned and utilized financial expenditures • Planned vs. actual funds leveraged • Quality of RBM reporting (progress reporting, monitoring and evaluation) • Occurrence of change in project design/ implementation approach (ie restructuring) when needed to improve project efficiency • Existence, quality and use of M&E, feedback and dissemination mechanism to share findings, lessons learned and recommendation on effectiveness of project design. • Cost associated with delivery mechanism and management structure compare to alternatives • Gender disaggregated data in project documents 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP, Gov. of Mongolia and Project personnel • Beneficiaries and Project 	<ul style="list-style-type: none"> • Document analysis • Key Interviews
	How efficient are partnership arrangements for the Project?	<ul style="list-style-type: none"> • To what extent partnerships/linkages between institutions/ organizations were encouraged and supported? • Which partnerships/linkages were facilitated? Which one can be considered sustainable? • What was the level of efficiency of cooperation and collaboration arrangements? (between local actors, UNDP/NEMA and the Government of Mongolia) • Which methods were successful or not and why? 	<ul style="list-style-type: none"> • Specific activities conducted to support the development of cooperative arrangements between partners, • Examples of supported partnerships • Evidence that particular partnerships/linkages will be sustained • Types/quality of partnership cooperation methods utilized 	<ul style="list-style-type: none"> • Project documents and evaluations • Project Partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews
3.2	Does the Project efficiently utilize local capacity in implementation?	<ul style="list-style-type: none"> • Was an appropriate balance struck between utilization of international expertise as well as local capacity? • Did the Project take into account local capacity in design and implementation of the Project? • Was there an effective collaboration with scientific institutions with competence in sustainable SDM management? 	<ul style="list-style-type: none"> • Proportion of total expertise utilized taken from Mongolia • Number/quality of analyses done to assess local capacity potential and absorptive capacity 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP, Project Team and Project partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews

3.3	Future directions for similar Projects	<ul style="list-style-type: none"> • What lessons can be learnt from the Project on efficiency? • How could the Project have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements etc...)? • What changes could have been made (if any) to the Project in order to improve its efficiency? 		• Data collected throughout evaluation	• Data analysis
4	Evaluation criteria: Impacts - What are the potential and realized impacts of activities carried out in the context of the Project?				
4.1	How is the Project effective in achieving its long term objective?	<ul style="list-style-type: none"> • Will the project achieve its long-term goal that is to support implementation of the long-term strategy of Mongolia for disaster risk management to minimize vulnerability, improve preparedness and enhance institutional capacity for disaster management and emergency response, assist in adapting to climate change that adversely affects sustainable development of the country, especially those in the rural environments? • Will the project achieve its objective that is to strengthen the Disaster Mitigation and Management System in Mongolia 	<ul style="list-style-type: none"> • Change in use and implementation of sustainable alternatives • Change in capacity: <ul style="list-style-type: none"> o To pool/mobilize resources o For related policy making and strategic planning, o For implementation of related laws and strategies through adequate institutional frameworks and their maintenance, • Change to the quantity and strength of barriers such as change in <ul style="list-style-type: none"> o Knowledge about SDMMMS-III and national incentives for DMMS o Cross-institutional coordination and intersectoral dialogue o Knowledge of SDMMMS-IIIS practices by end users o Coordination of policy and legal instruments 	<ul style="list-style-type: none"> • Project documents • Key Stakeholders • Research findings; if available 	<ul style="list-style-type: none"> • Documents analysis • Meetings with UNDP, Project Team and Project Partners • Interviews with project beneficiaries and other stakeholders
4.2	How is the Project effective in achieving the objectives of the UNDP?	<ul style="list-style-type: none"> • What are the impacts of the Project? • On poverty; and, • On other socio-economic issues 	• Provide specific examples of impact	<ul style="list-style-type: none"> • Project documents • Key Stakeholders • Research findings 	<ul style="list-style-type: none"> • Data analysis • Interviews with key stakeholders
4.3	Future directions for the Project	• How could the Project build on its apparent successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives?		• Data collected throughout evaluation	• Data analysis
5	Evaluation criteria: Sustainability - Are the initiatives and results of the Project allowing for continued benefits?				

5.1	Are sustainability issues adequately integrated in Project design?	<ul style="list-style-type: none"> • Were sustainability issues integrated into the design and implementation of the Project? 	<ul style="list-style-type: none"> • Evidence/Quality of sustainability strategy • Evidence/Quality of steps taken to address sustainability 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP personnel and Project Partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews
5.2	Financial Sustainability	<ul style="list-style-type: none"> • Did the Project adequately address financial and economic sustainability issues? • Are the recurrent costs after Project completion sustainable? 	<ul style="list-style-type: none"> • Level and source of future financial support to be provided to relevant sectors and activities in Mongolia after Project end? • Evidence of commitments from government or other stakeholder to financially support relevant Sectors of activities after Project end • Level of recurrent costs after completion of Project and funding sources for those recurrent costs 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP and project personnel and Project Partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews
5.3	Organizations arrangements and continuation of activities	<ul style="list-style-type: none"> • Were the results of efforts made during the Project implementation period well assimilated by organizations and their internal systems and procedures? • Is there evidence that Project partners will continue their activities beyond Project support? • What degree is there of local ownership of initiatives and results? 	<ul style="list-style-type: none"> • Degree to which Project activities and results have been taken over by local counterparts or institutions/organizations • Level of financial support to be provided to relevant sectors and activities by in-country actors after Project end 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP and project personnel and Project Partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews
5.4	Enabling Environment	<ul style="list-style-type: none"> • Were laws, policies and frameworks addressed through the Project, in order to address sustainability of key initiatives and reforms? • Were the necessary related capacities for lawmaking and enforcement built? 	<ul style="list-style-type: none"> • State of enforcement and law making capacity 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP and project personnel and Project Partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews
5.5	Institutional and individual capacity building	<ul style="list-style-type: none"> • Is the capacity in place at the national and local levels adequate to ensure sustainability of the results achieved to date? 	<ul style="list-style-type: none"> • Elements in place in those different management functions, at the appropriate levels (national, district and municipal) in terms of adequate structures, strategies, systems, skills, incentives and interrelationships with other key actors 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP and project personnel and Project Partners • Beneficiaries • Capacity assessments available, if any 	<ul style="list-style-type: none"> • Interviews • Documentation review

5.6	Challenges to sustainability of the Project	<ul style="list-style-type: none"> • What are the main challenges that may hinder sustainability of efforts? • Have any of these been addressed through Project management? • What could be the possible measures to further contribute to the sustainability of efforts achieved with the Project? 	<ul style="list-style-type: none"> • Challenges in view of building blocks of sustainability as presented above • Recent changes which may present new challenges to the Project • Education strategy and partnership with school, education institutions etc. 	<ul style="list-style-type: none"> • Project documents and evaluations • Beneficiaries • UNDP and project personnel and Project Partners 	<ul style="list-style-type: none"> • Document analysis • Interviews
5.7	Future directions for the Project	<ul style="list-style-type: none"> • Which areas/arrangements under the Project show the strongest potential for lasting long-term results? • What are the key challenges and obstacles to the sustainability of results of the Project initiatives that must be directly and quickly addressed? • How can the experience and good accumulated project practices influence the strategies for DMMS in Mongolia? 		<ul style="list-style-type: none"> • Data collected throughout evaluation 	<ul style="list-style-type: none"> • Data analysis