



MINISTRY OF NATURE,  
ENVIRONMENT AND TOURISM



UNITED NATIONS DEVELOPMENT PROGRAMME

## Community-based Conservation of Biological Diversity in the Mountain Landscapes of Mongolia's Altai Sayan Eco-region

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### Draft Report of the Final Evaluation Mission

October 2011

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## Acknowledgements

The Final Evaluation Team would like to thank all the staff and people connected with the Altai-Sayan Project who gave freely of their time and ideas to make the final evaluation process a success. There are far too many people to mention by name – and hopefully everyone who contributed is included in the lists of names annexed to this report – but special mention must be made of the two Project Local Coordinators – Togtokhbayar Damiran and Tumursukh Jal, who gave unstintingly of their time in accompanying us during the two sections of the mission, and answered every question we asked and discussed the points we took every opportunity to raise. We would also like to express our sincere gratitude to the Project, and in particular Badraa Mijiddorj, for their excellent logistical skills and warm hospitality and thanks to them the whole evaluation process ran smoothly.

Following completion of the Draft Report on 19<sup>th</sup> September 2011, review comments were received from the UNDP CO, the Project Implementation Unit, the Ministry of Nature, Environment and Tourism, and the UNDP-GEF Regional Technical Adviser in Bangkok on 4<sup>th</sup> October 2011. These comments have either been included into the revised text where these related to factual inaccuracies in the draft, or have been reproduced in full and unedited as footnotes to the appropriate text to ensure a fair hearing to all parties. The Final Evaluation Team has made responses to some of the comments. We thank the reviewers sincerely for their efforts and insights which have undoubtedly improved this final report.

The views expressed in this report are intended to offer an overview of, and some of the lessons learned from, the Altai Sayan Project after its completion. We have tried to balance our thoughts and offer fair perspectives of what was observed and learned from people far more knowledgeable about the Project than we will ever be. Our sincere apologies in advance if anyone should take anything written to be anything other than constructive criticism.

PE would like to express his sincere gratitude to Erdenebat for his perceptive thoughts and insights, and without whose considerable skill in Mongolian and English none of this would have been possible. He also helped ensure that my everyday welfare was well taken care of, and his kindness and companionship has been much appreciated. Mention must also be made of Khishigdavaa Dolgorsuren, the Project's main office driver, who drove us safely and with considerable skill over testing roads, and who bore PE's interminable requests to stop to view birds and take photographs with considerable forbearance.

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## ACRONYMS AND TERMS

Currency of Mongolia is the Tugrik (MNT). At the time of the final evaluation, US\$ 1 = MNT 1,240.

ASR	Altai Sayan Region
BZCTF	Buffer Zone Community Trust Funds
c.	Circa (about)
CBNRM	Community Based Natural Resource Management
FE	Final Evaluation
FET	Final Evaluation Team
GEF	Global Environment Facility
ha	Hectare(s)
LPC	Local Project Coordinator
LPO	Local Project Office
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MNET	Ministry of Nature, Environment and Tourism
MoF	Ministry of Finance
MPO	Main Project Office
MTE	Mid-term Evaluation
NGO	Non-governmental Organisation
NPD	National Project Director
NPM	National Project Manager
PA	Protected Area
PDF-B	Project Development Facility – Block B
PIR	Project Implementation Report
PIU	Project Implementation Unit
PSC	Project Steering Committee
SPA	Strictly Protected Area
SPAN	Strengthening Protected Area Network (GEF Project)
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNDP CO	UNDP Country Office
US\$	United States Dollar

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# EXECUTIVE SUMMARY

## KEY POINTS

- Project overall evaluated as Satisfactory.
- Since the Mid-term Evaluation (MTE), management has been effective and technical implementation has been to a high standard, hence the implementation approach is evaluated as Satisfactory.
- Project stakeholder participation has been very inclusive and successful, and has been evaluated as Highly Satisfactory.
- Project monitoring and evaluation has been evaluated as Satisfactory.
- The Project has worked hard at making its achievements sustainable and, with certain provisos, this appears to have paid dividends. Thus, sustainability has been evaluated as Highly Satisfactory.

**Key successes** – changed attitudes and behaviour towards the protection and sustainable use of natural resources by local communities through a new understanding that they have assumed ownership of these natural resources from the state. This has been reinforced by a change in attitude of the authorities who now see their role as that of supporting the local communities in their conservation efforts rather than protecting state resources from the local populace; 64 officially registered Community Groups established to manage the sustainable use of natural resources on land covering approximately 513,500 ha; significantly reduced hunting and fishing pressure leading to a measurable increase in the population of globally important target species; establishment of Community Trust Funds for communities living in the buffer zones of PAs, totalling MNT 28,950,380 (US\$ 23,347); loans and grants totalling MNT 159.5 million (US\$ 128,500) provided to 38 Community Groups for implementing activities such as sinking new wells, planting vegetables, repairing winter shelters, and improving the quality of their milk and wool products; revision of the Law on Environmental Protection to include an amendment giving herder communities the right to use natural resources sustainably and to benefit from nature conservation; revision of the Herder Community Regulation given Ministerial approval; designation and/or extension of nine protected areas (six SPAs and three National Parks) totalling 2.51 million ha; designation of a new Locally Protected Area covering 5.757 million ha from which all mining is prohibited plus six others totalling 365,300 ha in which the local government (aimag or soum) exerts control over the resources (ore, timber, etc.); development of management plans for six protected areas (three specially protected areas, three national parks – one approved, three awaiting approval, two under development)<sup>1</sup>; a trans-boundary cooperation agreement and a joint management plan of the trans-boundary PA Uvs Nuur (Mongolia) and Uvs Nuurskay Kotlovina (Russia) were developed and formally adopted (2011); a transboundary cooperation agreement on ecotourism development and biodiversity conservation signed between Khovd Aimag and Altai Province of Xinjian Uygur Autonomous Region (China); endorsement of the revised land use planning guidelines that incorporate increased attention for biodiversity conservation by the Mongolian Government Implementing Agency of Land Affairs, Construction, Geodesy and Cartography; establishment of 20 Environment Units – one in the Governor's office of each of the target soums (and now replicated nationwide through a Ministerial decree in June 2011); two Regional Conservation Strategies developed and implementation started – the Altai Mountains Conservation Strategy endorsed by the MNET; and the Sayan Region Biodiversity Conservation Strategy adopted by Khuvsgul Aimag; establishment of 20 information centres for local people and tourists; establishment of 20 eco-clubs; and development of species conservation action plans and programs are developed (e.g. argali sheep, taimen fish, snow leopard).

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<sup>1</sup> **UNDP-CO comment:** As of 30<sup>th</sup> September, all six management plans were approved by MNET.

**Key problem areas** – loopholes still exist in the Government's practices which remove the incentives for Community Groups to conserve wildlife; the Project's logframe remains inadequate in terms of its indicators thereby making evaluation of achievements difficult; and there has been no use of basic data security protocols by the Project and no transference of these to relevant beneficiaries.

The Final Evaluation (FE) of the Project was conducted over a period of 23 days between 18<sup>th</sup> August and 18<sup>th</sup> September 2011 by a team comprising one international and one national consultant. It was carried out on schedule four months prior to the Project closing. The Evaluation's ToR is given in Annex I, its itinerary in Annex II and the list of people interviewed in Annex III. A list of indicators, their end of Project achievement level, together with performance rating is given in Annex IV. After receipt of comments on 4<sup>th</sup> October 2011, which have been added as footnotes to the main text, and a final interview on 6<sup>th</sup> October, the report was finalised on 7<sup>th</sup> October 2011.

## RESULTS

Output 1.1: National policy and legal frameworks supportive of community resource management and equitable benefit sharing – Highly Satisfactory. Significant changes made to mindset of local communities and local government personnel with regard to the necessity for conservation and the community's role in this. Legislative and policy frameworks altered to accommodate such a role.

Output 1.2: Environmental units operating effectively under local governments in Altai Sayan region to mainstream biodiversity into local development plans and to deter environmental degradation – Satisfactory. Multidisciplinary Environment Unit established and supported within each one of the 20 target soums.

Output 1.3: Capacity increased of PA authorities, PA Buffer zone council and soum environmental units in ASR to strengthen community conservation in buffer zone of PA and other relevant places – Highly Satisfactory. Eight protected areas (six Strictly Protected Areas and two National Parks) either established and/or extended bring a total of 2.28 million ha of land under full protective status. Another seven Local Protected Areas established covering 6.06 million ha in which mining and other activities are prohibited. Management plans for six PAs developed and either approved or awaiting approval. Buffer zone councils established. Local level conservation action plans developed and approved. A community-based wildlife monitoring scheme established.

Output 2.1: Effective community groups are established and actively engage in natural resource management – Satisfactory. Sixty-four herder community groups registered officially and engaged in wildlife conservation activities. Development and support of community groups undertaken.

Output 2.2: Priority community groups adopt improved natural resource management schedules and demonstrate as best practices – Marginally Satisfactory. Unclear how this is different from 2.1 but livelihood activities supported with training and machinery resulting in slight increase in incomes.

Outcome 3: Effective project management – Satisfactory. Good since Mid-term Evaluation.

## KEY ISSUES

The turnaround of this Project has been remarkable since at the mid-term it was evaluated as being largely unsatisfactory. Implementation of a series of astute recommendations, particularly the move of the Main Project Office from Khovd back to Ulaanbaatar which enabled the recruitment of much higher capacity staff and improved communications throughout the Project, and the simplification of a logframe reported as being "unsuitable for management purposes", has produced a whole new management dynamic and enabled the Project to concentrate on two key areas – policy to provide a protective framework and awareness-raising to reduce threats. As a result, a fully integrated set of initiatives has produced a solid and seemingly highly sustainable platform for community-based conservation to operate within the Mongolian sections of the Altai and Sayan ranges. Although one or two pieces remain to be put in place, e.g. the passing of the new Mongolian Law on Environmental Protection with its amendment giving rights to herder communities, much of this remains outside of the Project's ability to influence. In making this evaluation, it is also important to understand that this success has been achieved in spite of the difficulties with which the Project works. The Project design

*was undoubtedly overly-ambitious, not least because the area it covers is vast, the population at low density, nomadic, and inhabiting very remote areas reached by little more than rough tracks; and the climatic conditions are extremely difficult with very cold winters (-40°C is not uncommon), and with many of the communities in the Project area cut-off at various times of the year by swollen rivers or snow and reachable only on horseback. In addition, the stakeholders started with a very low baseline capacity with little motivation to be involved with biodiversity conservation, and the agencies with which the people work are under-funded with basic equipment that is often old and of poor quality. The fact that the local population has been so closely supported for over five years, and become so motivated to be involved with conservation and sustainable use of natural resources, is a huge tribute to the work of the social mobilisers who have travelled hundreds of kilometres day in, day out over difficult terrain and in extreme weathers. The FET has been pleasantly surprised by the depth and integration of the work achieved (national government – policy and legal framework; aimag – political support and practical direction in implementing strategies; soum – practical support of the community groups; local population – embracement of the issues and eagerness to respond positively), as well as the breadth of its coverage – an amazing 64 herder communities have been officially registered and issued with community certificates.*

*While the sustainability of the Project appears to be highly likely, the key outstanding issues threaten this by removing the incentives for the communities to undertake conservation activities. Most notably, the Ministry of Finance takes back from the soums money equal to the share of the fees the soum is paid from licence fees paid by trophy hunters. Furthermore, the inadequacy of the arrangements for policing the foreign fishermen leaves the system open to abuse by unscrupulous companies, again to the cost of the local communities which fail to receive the monies they believe are owed to them. Changes to government practice and policy are required to rectify these issues. In addition, the pivotal role of the social mobilisers has been recognised by most people and their continuation beyond the life of the Project would be of immense benefit to ensuring the sustainability of the community groups, especially those only recently formed. Although money is in short supply amongst the various levels of Government, the FET believes that this would be a considerably beneficial investment – if only for another year.*

*Finally, one serious issue is that neither the Project (nor the UNDP-CO) has fully recognised the importance of data security measures and hence has not included the need for back-up procedures nor anti-virus software on its own computers, nor those supplied to beneficiaries. Data security protocols must be provided to beneficiaries in future projects at the same time as the computers themselves.*

*Recommendations and Lessons Learned are listed on pages 48-49.*



## APPROACH AND METHODOLOGY

1. The Monitoring and Evaluation Policy at the project level in UNDP/GEF has two overarching objectives, namely to promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes and performance of the partners involved in GEF activities; and to promote learning, feedback and knowledge sharing on results and lessons learned among the GEF and its partners, as basis for decision-making on policies, strategies, programme management, and projects and to improve knowledge and performance. With this in mind, this Final evaluation (FE) was initiated by UNDP Mongolia as the GEF Implementation Agency for the *Community-based Conservation of Biological Diversity in the Mountain Landscapes of Mongolia's Altai Sayan Eco-region* Project to measure the effectiveness and efficiency of Project activities in relation to the stated objectives, and to collate lessons learned.

2. The FE was conducted over a period of 23 days between 18<sup>th</sup> August and 18<sup>th</sup> September 2011 by a team comprising one international and one national consultant. It was carried out on schedule four months prior to the Project closing. The approach was determined by the terms of reference (Annex I) which were closely followed, via the itinerary detailed in Annex II. Full details of the objectives of the TE can be found in the TOR, but the evaluation has concentrated on assessing the concept and design of the Project; its implementation in terms of quality and timeliness of inputs, financial planning, and monitoring and evaluation; the efficiency and effectiveness of activities carried out and the objectives and outcomes achieved, as well as the likely sustainability of its results, and the involvement of stakeholders. The TOR also highlighted six specific questions, thus:

1. Did the project achieve the targets as set out in the logical framework?
2. To which extent did the project contribute to the objective?
3. To which extent are the structures that have been supported by the project expected to endure after the project ends?
4. What was the progress made in policy development of Community Based Natural Resource Management and Landscape based conservation?
5. How did the attitude towards conservation change between the start and end of the project?
6. How did key species develop since the project started?

The report was finalised on 7<sup>th</sup> October 2011 after receipt of comments on 4<sup>th</sup> October and a final interview on 6<sup>th</sup> October.

3. The Evaluation was conducted through the following participatory approach:

- extensive face-to-face and Skype interviews with the project management and technical support staff, including some members of the Project Steering Committee (PSC) and the Main Project Office (MPO). Throughout the evaluation, particular attention was paid to explaining carefully the importance of listening to stakeholders' views and in reassuring staff and stakeholders that the purpose of the evaluation was not to judge performance in order to apportion credit or blame but to measure the relative success of implementation and to determine learn lessons for the wider GEF context. The confidentiality of all interviews was stressed. Wherever possible, information collected was cross-checked between various sources to ascertain its veracity, but in some cases time limited this. A full list of people interviewed is given in Annex III.
- face-to-face interviews with local stakeholders, particularly the beneficiaries, in two of the aimags (provinces) covered by the Project – Uvs and Khuvsgul;
- a thorough review of project documents and other relevant texts, including the Project Document, Mid-term Evaluation (MTE), revised logframe, and monitoring reports, such as progress and financial reports prepared for UNDP, GEF, and separately for the Dutch Government who were a major source of co-finance, annual Project Implementation Reviews

- (PIR), relevant correspondence, and other project-related material produced by the project staff or partners; and
- field visits to various community groups (including the Sharkhargai Herders' Community Group; the Booshdog Herders' Community Group; and the Tengis Fish Protection Community Group), and Soum (District) Centres and their associated Environment Units.
4. Wherever possible the FET has tried to evaluate issues according to the criteria listed in the *UNDP-GEF Monitoring and Evaluation Policy*, namely:
- Relevance – the extent to which the activity is suited to local and national development priorities and organisational policies, including changes over time.
  - Effectiveness – the extent to which an objective has been achieved or how likely it is to be achieved.
  - Efficiency – the extent to which results have been delivered with the least costly resources possible.
  - Results – the positive and negative, and foreseen and unforeseen, changes to and effects produced by a development intervention. In GEF terms, results include direct project outputs, short-to medium term outcomes, and longer-term impact including global environmental benefits, replication effects and other, local effects.
  - Sustainability – the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion. Projects need to be environmentally as well as financially and socially sustainable.
5. The original logframe in the Project Document was revised significantly through a participatory process led by the UNDP-CO after the MTE in early 2009. This new logframe with three Outcomes, eight Outputs, and 40 indicators has been used throughout as the basis for the this evaluation (see Annex IV), and the FE has evaluated the Project's performance against these according to the current six-point evaluation criteria provided to it by the GEF. This is reproduced in Table 1 for clarity. Also, this project has undergone a more significant change during and after the MTE than any of the 17 projects that the FET Leader has previously evaluated. While in many cases a discussion of the events previous to this is pertinent and been referred to, with the agreement of the Regional Technical Advisor in Bangkok, the FET has assessed the Project's performance against these criteria only from the point of the Mid-term Evaluation onwards.

**TABLE 1: CRITERIA USED TO EVALUATE THE PROJECT BY THE FINAL EVALUATION TEAM**

<b>Highly Satisfactory (HS)</b>	Project is expected to achieve or exceed <b>all</b> its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as "good practice".
<b>Satisfactory (S)</b>	Project is expected to achieve <b>most</b> of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
<b>Marginally Satisfactory (MS)</b>	Project is expected to achieve <b>most</b> of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve <b>some</b> of its major global environmental objectives or yield some of the expected global environment benefits.
<b>Marginally Unsatisfactory (MU)</b>	Project is expected to achieve <b>some</b> of its major global environmental objectives with major shortcomings or is expected to achieve only <b>some</b> of its major global environmental objectives.
<b>Unsatisfactory (U)</b>	Project is expected <b>not</b> to achieve <b>most</b> of its major global environment objectives or to yield any satisfactory global environmental benefits.
<b>Highly Unsatisfactory (U)</b>	The project has failed to achieve, and is not expected to achieve, <b>any</b> of its major global environment objectives with no worthwhile benefits.

6. The results of the evaluation were conveyed semi-formally to the UNDP and the project prior to the lead FE's departure from Mongolia (see [Annex V](#)).

## PROJECT CONCEPT AND DESIGN

7. The 1993 *Mongolian Biodiversity Project* established a policy base for biodiversity conservation in Mongolia, through the design of the *Mongolian Biodiversity Action Plan*. All subsequent GEF projects have been fitted within this framework. The concept for this Project appears to have arisen originally from the World Wide Fund for Nature (WWF) which saw it as a logical step in the development of conservation activities in an area in which it had been working for some considerable time. Thus, in 1998 a single regional project was originally suggested to cover the Altai and Sayan mountains – one of their Ecosystem 200<sup>2</sup> areas – in Russia, Kazakhstan, and Mongolia. This unfortunately did not transpire because the countries involved fell either side of an internal UNDP organisational boundary – Russia and Kazakhstan coming under the Europe & CIS Regional Centre based in Bratislava, while Mongolia lies within the remit of the Asia-Pacific Regional Centre in Bangkok. As a result, three separate “sister” projects were conceived to cover the same area in an integrated way.

8. The resulting design for Mongolia focussed on mitigating threats and encouraging sustainable resource use practices by local communities to empower herder communities to resolve forest and grassland management problems and improve livelihoods. The Project Document is well written and provides cogent arguments for intervention based on a thorough appraisal of the baseline conditions and the scientific evidence. Unfortunately, the design that follows is not to the same high standard. It is based around three<sup>3</sup> “*Immediate Objectives*” which are confused in their wording – the first appearing to be more like an Outcome (which is what they should all be) while the other two are more like traditional Objectives:

*“Immediate Objective 1: Biodiversity conservation objectives integrated into productive sector institutions and policies.*

*Immediate Objective 2: To strengthen “traditional” protected area-based approaches by expanding their scope to include the landscape around them.*

*Immediate Objective 3: To successfully demonstrate how to integrate biodiversity into resource management and economic development practice & Policy.”*

Oddly, none of these Immediate Objectives appear in the logical framework, but instead seem to be replaced by a “*Purpose*”, thus:

*“The successful completion of the project will result in stakeholders devising innovative and adaptive practices to mitigate and prevent threats to biological diversity by applying new partnerships, conservation tools, information, and sustainable livelihoods to conserve biological diversity.”*

Along with the five<sup>4</sup> constituent Outputs:

*“Output 1: Conservation Capacity of Productive Sector Institutions and Policies Is Strengthened.*

*Output 2: Information baseline established and strengthened as basis for integrating conservation into productive sectors.*

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<sup>2</sup> the Global 200 aims to represent all of the world's biodiversity by identifying outstanding eco-regions in all of the world's biomes and biogeographic realms

<sup>3</sup> A fourth one is focussed on project management – “*To implement a project that learns from it's successes and failures and shares these lessons and replicates best practices effectively among it's own stakeholders and with others*”.

<sup>4</sup> A sixth one complements the project management objective – “*Output 6: Monitoring and evaluation is applied as a tool for adaptive management, assessment of project impact/progress and replication of best practices.*”

*Output 3: Landscape-based approach to conservation established and operational*

*Output 4: Strengthened Trans-boundary Conservation Action and Institutional Linkages.*

*Output 5: Grazing, forest-use, sport hunting management, and tourism, are re-oriented to support conservation while improving livelihoods.”*

## REVISED LOGFRAME

9. These have been provided in full because it was evident to the MTE that the confusing wording and logic of the logical framework was having a detrimental effect on implementation of the project during the first half of its lifetime. Indeed, it notes that:

*“... a subsequent attempt by project management to revise the logical framework was not adequate or successful. The LF [logframe] produced by the inception workshop was reviewed by the ITA and a revised version was drafted at the November 2007 planning meeting, based on a single objective (in accordance with UNDP/GEF guidelines) and new, clearer outcomes (Laurie 2007). However it didn’t progress beyond the draft stage.”*

Although capacity issues and the location of the main project office in Khovd were also significant factors, the MTE put in a lot of very good work on analysing and making suggestions to re-word and re-structure the logical framework, and also to make the indicators, which were not SMART<sup>5</sup>, more effective for monitoring purposes. In the FET’s view, they made one significant mistake which was not to make their suggestions for re-structuring the logframe into recommendations which could then have been accepted wholesale, or rejected. Instead, despite providing over ten pages of detail and justification for a new logframe, they made the following recommendation:

*“Based on its assessment of the project design, the MTE **recommends (1a)** that ASP [Altai Sayan Project] reaffirms very clearly the substance of what the Altai Sayan Project is aiming to achieve and, in the process, revises the Outcomes and Outputs to provide a more coherent project strategy (see Section 6). It is **recommended (1b)** that this work is accompanied by formulation of an implementation plan for the duration of the project (complete with indicators and milestones) and a budget in line with the changes made”*

and

*“A priority **recommendation (2)** of the MTE is for the senior project management staff (using resource persons and consulting with project staff and partners as necessary) to revise the logical framework ...”.*

As a consequence, instead of taking the MTE’s suggested changes on board and getting on with revising the Project’s implementation, the Project, under the UNDP-CO’s guidance, decided to undertake its own review of the logframe through a participatory process which appears to have lasted for around six months. While the praiseworthy intentions of the UNDP-CO to be participatory in re-vamping the Project are acknowledged by the FET (who note also that this is in part in line with “consulting with project staff and partners as necessary”), nonetheless it is believed that this was a mistake. The capacity of local people to understand the finer nuances of logframe design and hence to contribute effectively to the process is effectively absent and, unfortunately, the logical framework resulting from this process also casts doubts over the capability in this sphere of both the Project’s management at that time and that of the UNDP-CO. Thus, instead of getting a clear and tight revision of the logical framework that was available within the MTE report, what the Project ended up with is a still weak and confused logframe.

10. The review undoubtedly simplified the Project which desperately needed doing, coalescing disparate elements into a focussed two-outcome approach, one based on policy and legislation, and the other on reducing threats to biodiversity. A third element relates to project management issues – a prominence that the FET finds surprisingly high profile. The three Outcomes suggested by the MTE

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<sup>5</sup> Specific, Measurable, Attainable, Relevant, Time-bound.

were on 1) biodiversity information systems, 2) management systems for biodiversity and natural resources, and 3) education and awareness; nothing on project management. The simplification achieved has doubtlessly acted as the catalyst for the change in fortunes of the Project, and while other factors such as moving the main project office back to Ulaanbaatar and hiring new high quality project managers and staff have resulted in the success that the Project has achieved, the foundation these are built upon has been this simplification. Nonetheless, while the vertical logic of the Outcomes and the Outputs is good, the logframe overall remains weak, for example;

- the Project has only a single Objective – no differentiation has been made between the Project’s Development Objective and its Immediate Objective;
- a single Objective which is actually written as a goal – something the Project can at best help to influence not something it can achieve itself.
- no Development Objective – a clear statement of what the Project is intending to achieve itself – and as a consequence, no Development Objective Indicators against which the overall achievement of the Project can be measured. [The objective indicators appearing in the Project Implementation Reviews (PIRs) sent to GEF simply repeat some of the outcome indicators];
- 40 indicators – far too many for the number of outcomes (3) and outputs (8), and many of these are repetitive with the same achievements able to fulfil multiple indicators, e.g. in Annex IV, indicator numbers 2, 12 and 18 are similar; as are 1, 3 and 7; as are 10,11 and 23 ...
- many of the indicators for both Outcomes and Outputs are not SMART, for example (and there are many more (see Annex IV):
  - The target for the second indicator for Outcome 1 (Nº. 2 Annex IV) states: *“Demonstrated capacity improvements of institutes responsible for biodiversity conservation in the Altai Sayan eco-region measured by project final evaluation at the end of 2011”* – no methodology is given; no target numbers.
  - A target indicator for Activity 1.1.1 (Nº. 5 Annex IV) states: *“Altai Sayan Eco-region population has significantly improved knowledge on biodiversity conservation compare to 2005”* – but again does not indicate how this is going to be measured.
  - The target indicator for Output 1.2 (Nº. 10 Annex IV) states: *“Environmental units are used as an effective coordination mechanism at the soum level by the end of 2011”* – again there is no indication of how this can be measured.
- some target indicators remain incomplete, e.g. a target indicator for Output 1.3 (Nº. 19 Annex IV) states: *“METT scores at each aimag will increase by ?? points”* and although the METT scores are being calculated, at the time of the FE, the target “??” had still not been decided, which not only invalidates the indicator but actually negates its entire point in management terms – how do you know what actions to apply if you do not know what you are seeking to achieve?
- many indicators are not provided, just the targets, i.e. numbers 12-17, 20-23, 26-28, 32-35, and 38-40; and many baselines are still missing even after a large number were provided by the UNDP-CO during the FE!, i.e. 12-13, 26-28, 33-35, 38-39.
- Further details will be found in the “comments” column of Annex IV.

11. For completeness, then, the following are the key objectives formulated under the Project’s revised logframe and these have been used throughout this evaluation as the basis for assessment:

#### Objective

*Conservation and sustainable use of globally significant mountain biological diversity in Mongolia’s Altai Sayan eco-region*

### Outcome 1

*Governments policies, institutional arrangements and capacities are in place to mainstream landscape conservation into development plans in AS region.*

### Outcome 2

*Reduction of threats to biodiversity from unsustainable use from local communities in the Altai Sayan region.*

### Outcome 3

*Effective project management.*

## PROJECT IMPLEMENTATION

12. The concept note for the Project originated from WWF and entered the GEF pipeline on 28<sup>th</sup> June 2000. The PDF-B became operational in February 2001, and the project went into the work programme with the approval of the CEO Brief on 15<sup>th</sup> July 2003. The Project Document and associated papers were submitted to the GEF Council on 29<sup>th</sup> June 2005 and, following receipt of comments, a final submission was made on the 29<sup>th</sup> October 2006 with GEF CEO endorsement received on 31<sup>st</sup> October 2006 as a Full-sized Project under Operational Programme 4: Mountain Ecosystems and as part of Strategic Objective Biodiversity #2 Mainstreaming Biodiversity in Production Landscapes and Sectors of the GEF Business Plan. UNDP signed the Project Document with the Government of Mongolia on 18<sup>th</sup> December 2006, thereby commencing the Project. First disbursements were made on 17<sup>th</sup> January 2007. The delay in the GEF process caused difficulties for the commitment of the co-funding from the Government of the Netherlands, and in order to safeguard that money, the Dutch started their part of the Project in 2005, and as a result, completed their funding on 31<sup>st</sup> December 2010. UNDP-GEF Project inception workshops were organised and the initial Inception Report was produced in April 2007. The UNDP-GEF Mid-term Evaluation was completed on 15<sup>th</sup> February 2009.

## PARTICIPATING AGENCIES

13. The Project has been executed in accordance with the standard rules and procedures of the UNDP National Execution Modality. The Project's executing partner agency is the **Ministry of Nature, Environment and Tourism**<sup>6</sup> (MNET) and through this the Government has exercised financial management with the National Project Director acting as the approving officer and the National Project Manager as the certifying officer for payments; but it has not been involved in the flow of funds. The UNDP-CO has signed the quarterly budgets and workplans, provided an assurance role by always having a presence on any selection panel, and on occasion has made direct payments (thereby acting as a business agent to provide those services). UNDP has acted through the Project Document to empower the Project to enter into contractual arrangements with physical and legal persons on their behalf, and to manage project funds, including budget planning, monitoring, revisions, disbursements, record keeping, reporting and auditing that all observe UNDP rules.

14. Project oversight has been undertaken at the strategic level by an inter-institutional Committee, known in this Project as a **Project Steering Committee**<sup>7</sup> (PSC). The PSC has been chaired by the National Project Director (see paragraph 17) and, according to the list provided to the FET, comprises 14 members drawn from state government agencies, elected representatives, and relevant bodies including UNDP (see [Annex VI](#)). The Project provided secretariat services and co-funders, and project staff attended as observers. The PSC has met twice yearly, with winter meetings held in Ulaanbaatar and summer meetings rotating amongst the aimag centres. The latter is commendable since getting project steering committees to meet close to their project's point of implementation is

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<sup>6</sup> Up until 17<sup>th</sup> September 2008, it was the Ministry of Nature and Environment.

<sup>7</sup> Since end of 2009 it has been officially re-named a Project Board in accordance with UNDP's results-based management approach, but the original title has stuck.

rare, and in this case this has undoubtedly encouraged a high level of local involvement (less far to travel and less overwhelming than a trip to the capital city). However, the down side is that only about 70% of PSC members attend the summer meetings, and substitute persons may be sent, e.g. the MPs on the PSC tended to send their personal assistants in their place. While this is a common problem, present in other projects, the FET believes that the encouragement of local attendance tends to outweigh the effect of two PSCs.

15. Financing contributions have been in cash from GEF (US\$ 2,720,00), the Government of the Netherlands (US\$ 1,865,672) and UNDP (US\$ 200,000); plus in-kind co-financing from the Asian Development Bank (US\$ 1,730,000), the Ministry of Food, Agriculture and Light Industry (US\$1,595,200), World Wide Fund for Nature (WWF) (US\$ 1,500,000), the Ministry for Nature, Environment and Tourism, (US\$ 832,350), and International Fund for Agricultural Development (US\$ 750,000); Total : US\$ 11,193,222.

16. The Project has worked closely with, and through, a wide range and large number of stakeholders, see Table 2, and as a result, the FET evaluates stakeholder participation as **Highly Satisfactory**.

**TABLE 2: STAKEHOLDERS INVOLVED IN THE ALTAI SAYAN PROJECT AND THEIR ROLE**

Organization	Area of cooperation
<b>Community Groups</b>	
80 groups in 4 aimags	The 80 community or herder groups are the primary beneficiaries of the project and members have been involved from the inception to form groups and engage in conservation and alternative livelihood activities
<b>Government organizations</b>	
MNET and its departments	Oversight of the project and support in implementation of project activities (including policy level)
6 PA administrations	Cooperation in implementation of project activities, strengthening technical capacity in the protected area
4 Aimag museums	Collaborated to develop displays in all Aimag museums on biodiversity and the Altai Sayan eco-region
4 Aimag Citizens' Representatives Khurals <sup>8</sup>	Getting endorsement, cooperation in all respective areas
4 Aimag agencies for Nature, environment and tourism	Cooperation in all respective area, support soum Environmental Unit, cooperation in Community initiatives, biological/wildlife monitoring system, developing aimag policy on biodiversity conservation
4 Aimag Governor's Offices and its departments for land; for sustainable development, policy development; for agriculture and small and middle scale production;	Cooperation in endorsing project outputs, support in developing soum annual land use management plan, support in developing aimag development policy
4 Aimag's Department for Education and culture	Cooperation for providing support to the eco clubs and enabling their sustainability
20 Sum Governors Offices	Cooperation in all areas
20 Sum C.R. Khural	Getting endorsement, cooperation in all respective area
Bufferzone councils in 19 soums	Strengthening support in buffers zones, cooperation with herder communities
Border authority in Uvs, Bayanulgee aimag	Biodiversity conservation in border areas
4 Aimag special inspection department	Staff at soum levels are members of the Environmental units
Environmental Units in 20 soums	Cooperation in all areas focusing on support and guidance of herder groups, CBNRM

<sup>8</sup> Parliaments

Research and educational organizations	
Mongolian Academy of Science, Institute of Biology	In developing species specific conservation action plan, cooperation in developing landscape based conservation strategy
Mongolian Academy of Science, Institute of Geography	
National University of Mongolia, Faculty of Biology	
Khovd University	Strengthening capacity, establishing information database
School administrations and eco-clubs (22 in 20 soums and 2 aimag centres)	Cooperation with eco clubs
International, National and Local NGOs	
Snow Leopard Conservation Fund - Irves Enterprise	Snow Leopard Research, improving livelihood of communities through providing training of felt products
WWF MPO	Establishment of regional database, development of protected area management plan, cooperation in research activities, in HG and ecolub support
2 Community Associations: Uvs, Khovd	Strengthening capacity of communities
WCS and TNC	Cooperation on policy development issues
Local conservation NGOs (branch of Mongolian conservation coalition)	Conservation, awareness raising, development of herder communities
International organizations and projects	
Sustainable Livelihood project II, WB; Steppe forward, London Zoo; Collaborative learning for Co-man of NR, Canada;	Strengthening capacity of communities
SDC, GTZ, FAO	Cooperation in policy development issues
Mercy Corps; London Zoo/Steppe Forward/ World Bank and the ITCD	Strengthening capacity of communities, cooperation in the field of eco-club support, cooperation on placing camera traps

## NATIONAL LEVEL ARRANGEMENTS

### *Project Direction*

17. Overall guidance and coordination of the project implementation has been the responsibility of the **National Project Director (NPD)**, a part-time position held throughout by the Head of Ecologically Clean Technology and Science Division of the MNET, Mr. Enkhbat Altangerel<sup>9</sup>. The NPD is a state employee and is an unpaid position covered by the Government's in-kind contribution to the Project. He has been responsible for overseeing the execution of the Project on behalf of the Government, for achieving the Project's objectives, and has been accountable to UNDP for the use of Project resources.

### *Project Management*

18. Day-to-day implementation has been the responsibility of **Project Implementation Unit (PIU)** comprising a **Main Project Office (MPO)**, which was located originally in Ulaanbaatar before moving to Khovd in April 2007 in line with the requirements of the Project Document. After the MTE in early 2009, the MPO was moved back to Ulaanbaatar and housed in rented private office accommodation because of the lack of suitable MNET premises. The MPO has comprised a full-time National Project Manager (referred to by some as a national Project Coordinator), a position held by five persons, thus:

<sup>9</sup> Mongolian people generally refer to themselves only by a first name; sometimes with the initials of their father's name afterwards. In this report, the given name and the father's name is given in full. Family names are not used.



- Mr. Gantumur Yadmaa – June - November 2004
- Ms. Sarangoo Radnaaragchaa – March 2005-April 2007
- Mr. Batbaysgalan Maygmandorj – June 2007-June 2008
- Mr. Batnasan Nyamsuren – November 2008-November 2010
- Mrs. Chimeg Junai – December 2010 till now

While the MPO was in Khovd, a full-time **International Technical Advisor** (ITA) – Mr. Valdemar Holmgren – was employed but it appears that although this position should have been funded by GEF, Dutch co-finance was used instead and that such funds were not approved. As a result, he left in April 2007. A replacement – Mr. Andrew Laurie – was hired in June 2007 who worked for a year and was not replaced<sup>10</sup>. Once the MPO had returned to Ulaanbaatar a suite of professional officers and a driver were hired. At the time of the FE, the officers comprised:

- Policy and Communications Officer – Solongo Tsevegmid
- Community Development Officer – Ganchimeg Dorj
- Biodiversity Conservation Officer – Munkhbat Tserendorj
- Monitoring and Evaluation Officer – Badraa Mijiddorj
- Finance and Administrative Assistant – Amarbayasgalan Dorj
- Secretary/translator – Myagmarsuren Batjargal

19. Four **Local Project Offices** (LPO) were also established, three housed in Aimag Government accommodation in each of the three western aimag centres – Ulaangom (Uvs), Khovd (Khovd), and Olgii (Bayan-Olgii) – and in the Protected Area Administration building in Khatgal (Khuvsgul). The LPOs comprise a Local Project Coordinator, a Local Community Development Officer (or equivalent), a Finance and Administrative Assistant, and a driver. Reporting to the LPOs were a total of 20 Social Mobilisers, each responsible for one of the Project's target soums.

### ***Implementation Approach***

20. Implementation of the Project was undoubtedly poor during the first half of its lifetime, bedevilled with changes of offices, inadequate office premises, low capacity of staff, staff positions not filled, and poor communications to name a few of the problems. In late 2008 a very extensive MTE was undertaken by a relatively large team of consultants which reported in February 2009. The UNDP-CO effectively accepted and implemented all of its recommendations over the next six months. As a result, implementation of the Project has significantly improved over the last two-and-a-half years (the period that his Final Evaluation is concerned with – see paragraph 5) and has been guided by the radically revised and simplified logframe. Although serious shortcomings remain with this logframe (see paragraph 9 *et seq.*), the simplification of the work to two main aims – policy to provide a protective framework, and awareness-raising to reduce threats – has recharged the management dynamic so that correct technical staff have been hired, and that all staff from the NPM to the Social Mobilisers better understand the logic of what they are doing and what they are trying to achieve. The result is that technical work has been conducted to a high standard and all of the Project's activities are integrated and complement one another at various levels – something that certainly was not happening during the first half of the Project, and something that the FET Leader has seen to this degree only rarely. This bodes well for the Project's sustainability. Communication, supervision, and levels of support are all now good – the willingness of each level of management to provide support on demand to those below being a particularly noteworthy and effective feature. The twice-yearly meetings of all Project staff have also been particularly effective. Despite the expense of bringing 40+ staff together in one place – Ulaanbaatar in winter, one of the aimags in summer – to work together prior to, and attend, the PSC meetings, the gains in providing face-to-face opportunities for staff to discuss work plans, share experiences, learn from each other, give and receive training, and to see other sites within the Project have been priceless. As a result, the implementation approach is evaluated as **Satisfactory**.

<sup>10</sup> Andrew Laurie continued with the Project as a consultant on Land Strategy.

21. One point from the MTE is worth raising, however, because it is believed by the FET to have been one of two mistakes made in an otherwise astute and extremely helpful MTE (see paragraph 9 for the other relating to the logframe). Recommendation 1c reads thus:

*“It is **recommended (1c)** that the programme period of the Altai Sayan Project remain as given in the 2006 Project Document (i.e. 2007 – 2011). The desirability of a project extension beyond this date for one further year can be considered, but the case should be made only after real progress with implementing the revised project strategy has been achieved.”*

The suggestion that an extension can be considered subsequently would appear to be pretty much impossible to achieve. In restructuring the logframe and reformulating the implementation plan for the remaining two years, the budget will have been reviewed and allocated accordingly. Given that “real progress” will be unlikely to have been shown to have been achieved in under 12 months, the only time that an extension would be likely to be considered is when only one year, and one year’s remaining budget, of the Project is left. To attempt to stretch such remaining funds to cover twice the period is never going to be feasible – whereas no cost extensions recommended at the point of the MTE have many more resources to play with. [As a side issue, the recommendation appears to show a lack of confidence in belief that the MTE’s other recommendations will result in turning around the Project, for if the team had been confident then it follows that an extension should have been recommended.] This is important because this Project would have benefitted greatly from an addition year, particularly in cementing the gains made with the Community Groups (e.g. see paragraph 56) and perhaps making progress with one or two other outstanding issues (e.g. see paragraphs 60-61). As one elected official noted “*The Project seems to be ending just at the point that it is most active. Government officials will not be able to carry out activities to the same level*”, and this sentiment was repeated in different guises by many others.

### ***Project Progress and Financial Assessment***

22. Total disbursement of funds to the time of the FE amounted to US\$ 4,554.913 (see Table 3). If Project spending can be taken as a crude measure of the progress of implementation, then the Project has achieved the progress originally envisaged, since this sum represents 95.8% of the budget projected in the Project Document, with approximately 3.5 months to go. This amounts to effectively all of the co-financing from the Government of the Netherlands, a 37% increase on the funding originally committed by UNDP, and 88.4% of the GEF funds. The FET understands that the remaining GEF funds have been allocated and will be disbursed by the end of the Project in December 2011.

23. It is important to understand the derivation of these figures. While the Project Document produced budget figures in terms of outputs (i.e. by Outcome), at the start of implementation, these were immediately turned into inputs (e.g. equipment, transport) and have been accounted for in this way in Atlas throughout the Project. Disbursement has, therefore, been reverse-accounted for the purpose of these tables by the UNDP-CO. However, the issue is further complicated by the major structural changes implemented to the logframe in 2009 when the six outcomes were simplified to three. For a time after that, the Project and UNDP-CO continued to allocate expenditure of the new Outcomes to the appropriate old Outcomes before ceasing this practice in 2010. However, for the purposes of this evaluation, the expenditure for 2010 and 2011 has also been re-allocated to the old outcomes.

24. Not surprisingly given this and the radical changes to the logframe brought about by the MTE, the expenditure has not been even across the various outcomes, and the change in emphasis has meant that spending has been heavier on some outcomes, e.g. Outcome 1 effectively the community groups; while on others it has been cut back, e.g. Outcome 4 the transboundary component; Outcome 5 the tourism and alternative livelihood component, and to a smaller extent, Outcome 3 the landscape-based planning approach. However, perhaps the biggest surprise is the huge overspend on Outcome 6 – project management. While the FET acknowledges, and supports, the idea that big complex projects, especially those operating over very large geographic areas require adequate management, and also

notes that this Project had over 40 staff for most of its lifetime, nonetheless, a spend of very close to double that against the original budget proposed in the Project Document seems exceptionally high, and especially more so when this includes 2.4 times the originally forecast GEF funds. Some<sup>11</sup> of this will have accrued from hiring additional senior staff as recommended by the MTE, but salaries are not that high in Mongolia and the FET wonders whether all accounting has been undertaken correctly; the FET Leader has on many projects found costs to be misallocated (see paragraph 25a).

**TABLE 3: TOTAL DISBURSEMENT OF FUNDS (US\$) BY OUTCOME BY SOURCE TO END OF PROJECT AGAINST FULL PROJECT BUDGET AS PER PROJECT DOCUMENT (FIGURES ROUNDED)**

	GEF			UNDP			Govt. Netherlands			Total		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Outcome 1	385,000	498,577	129.5				49,875	213,822	428.7	434,875	712,362	163.8
Outcome 2	525,000	347,160	66.1		480		89,250	282,070	316.0	614,250	629,710	102.5
Outcome 3	1,280,000	673,034	52.6		169,106		63,000	208,680	331.2	1,343,000	1,050,820	78.2
Outcome 4	130,000	24,329	18.7	50,000	1,757	6.6	15,750	14,067	89.3	195,750	40,153	20.5
Outcome 5	105,000	150,705	143.5	150,000			1,143,450	432,485	37.8	1,398,450	583,190	41.7
Outcome 6	295,000	709,395	240.5		103,537		504,347	710,623	140.9	799,347	1,538,677	192.5
<b>Total</b>	<b>2,720,000</b>	<b>2,403,200</b>	<b>88.4</b>	<b>200,000</b>	<b>274,844</b>	<b>137.4</b>	<b>1,865,672</b>	<b>1,861,747</b>	<b>99.8</b>	<b>4,785,672</b>	<b>4,554,913</b>	<b>95.2</b>

SOURCE: UNDP from Atlas. Note, it is outside the scope of the FE to independently verify the financial figures contained in any of the tables and figures presented here through an audit.

25. Table 4 gives the figures for the disbursement of GEF funds by Outcome against budget in each of the project years as per the Project Document. Figure 1 illustrates these figures as a percentage of the budget disbursed in each period by Outcome, and Figure 2 shows the same but cumulatively. It is important to bear in mind the derivation of these figures as outlined in paragraph 23. These Figures illustrate a number of points:

- that until the MTE, project management costs (Output 6) were escalating and running over budget. A common reason for this is that disbursements are allocated wrongly to project management instead of to the constituent technical components, e.g. a consultant's fees may be allocated to project management rather than to the technical output he is working on). The reason is unknown in this case, but after the MTE these increasingly declined on a cumulative basis (Figure 2);
- between 2008 and 2009 the proportion of the budget disbursed went down for four of the five technical outcomes (Figures 1 and 2) and the absolute amount of three of them decreased (Table 4) indicating very real problems with the Project's implementation and management;
- Outcome 3 always had the greatest disbursements in percentage terms of the technical components indicating the importance attached to the establishment and support of the Community Groups and management planning ;
- Transboundary issues (Outcome 4) were effectively put to rest after the MTE;

No other trends are really visible because of the fractured nature of the data.

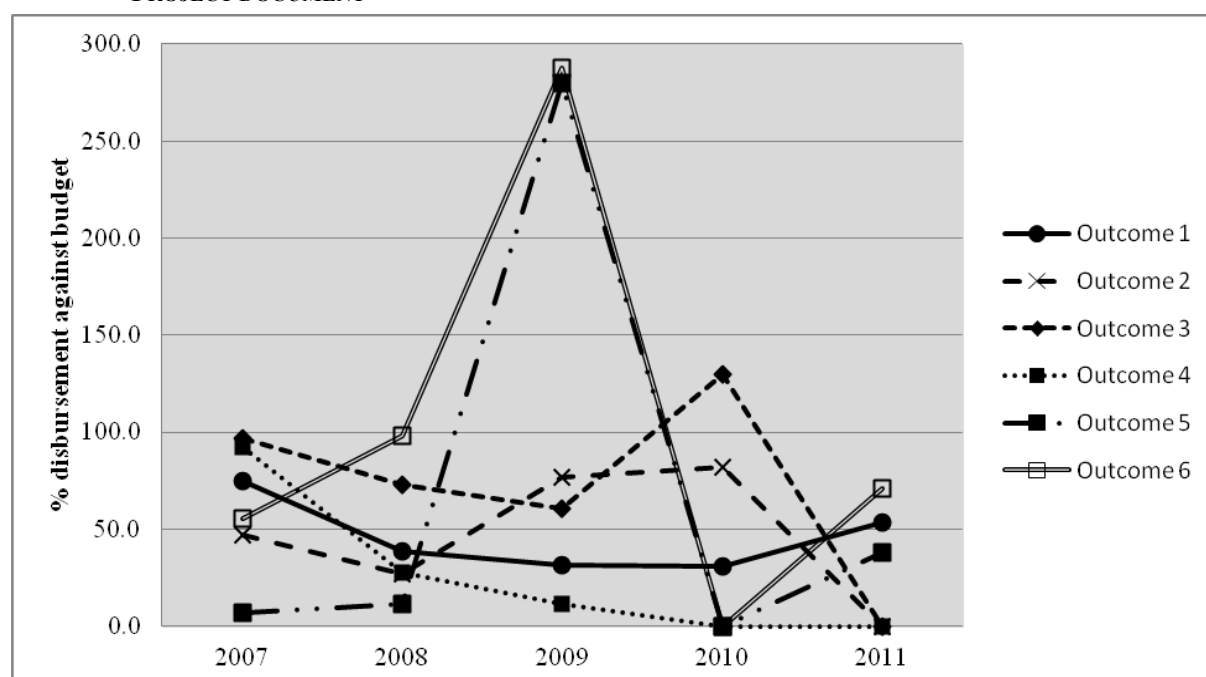
<sup>11</sup> **PIU comment:** Under Outcome 3 (former Outcome 6) now funds for monitoring and evaluation both at the local level as well as monitoring from UNDP CO, MPO as well as MNET, and also the auditing, sustainability plan development and implementation including best practice documentation (documentary film production), replication of the best practices etc. are included. In addition, the PSM and above mentioned all staff meeting, each twice a year are being funded under Outcome 3 along with salaries (which have been increased following the MTE recommendations and the nationwide increase of salaries 3-4 fold compared to 2005).

**TABLE 4: TOTAL DISBURSEMENT OF GEF FUNDS (US\$) BY OUTCOME BY YEAR TO END OF PROJECT AGAINST BUDGET AS PER PROJECT DOCUMENT**

	2007			2008			2009			2010			2011		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Outcome 1	66,800	49,787	74.5	133,993	51,570	38.5	371,902	117,985	31.7	411,050	127,154	30.9	284,664	152,081	53.4
Outcome 2	80,275	37,957	47.3	109,400	29,456	26.9	110,000	84,414	76.7	239,060	195,333	81.7			
Outcome 3	167,200	161,550	96.6	215,040	156,260	72.7	232,500	141,431	60.8	164,500	213,903	130.0			
Outcome 4	14,600	13,493	92.4	31,300	8,665	27.7	19,100	2,171	11.4						
Outcome 5	133,310	9,154	6.9	113,280	13,148	11.6	21,500	60,210	280.0				178,401	68,193	38.2
Outcome 6	203,403	112,259	55.2	315,989	309,030	97.8	45,700	131,489	287.7	-23,633			254,690	180,250	70.8
<b>Total</b>	<b>665,588</b>	<b>384,200</b>	<b>57.7</b>	<b>919,002</b>	<b>568,129</b>	<b>61.8</b>	<b>800,702</b>	<b>537,700</b>	<b>67.2</b>	<b>814,610</b>	<b>512,757</b>	<b>62.9</b>	<b>717,755</b>	<b>400,414</b>	<b>55.8</b>

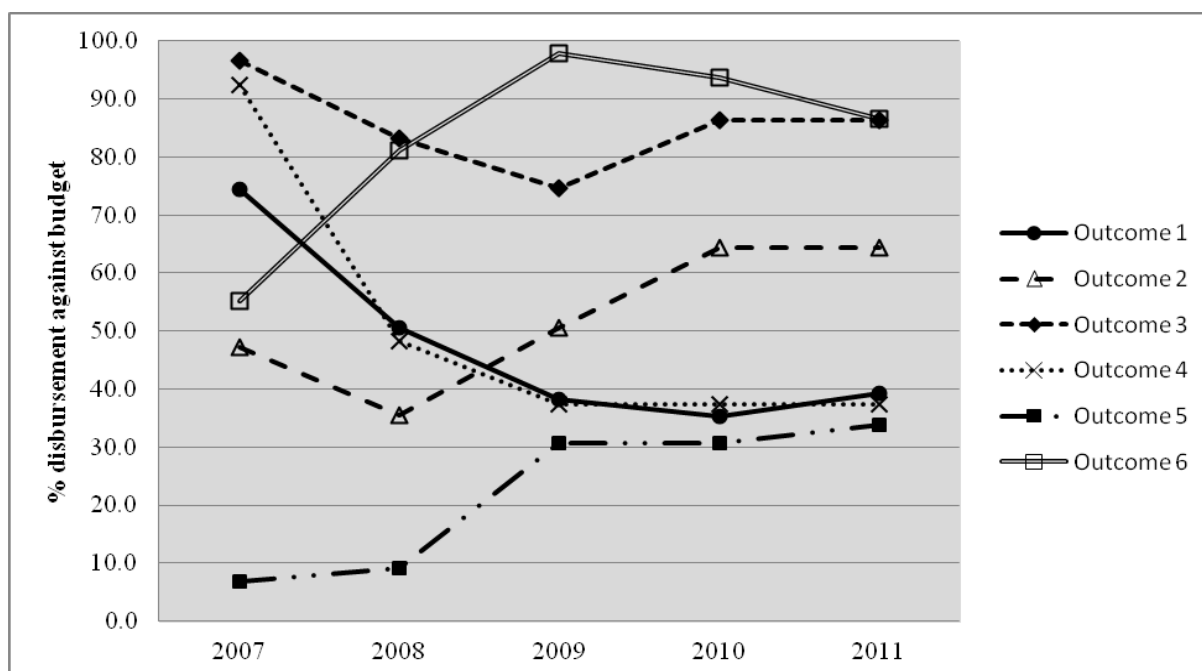
SOURCE: UNDP from Atlas. Note: it is outside the scope of the FE to independently verify the financial figures contained in any of the tables and figures presented here through an audit

**FIGURE 1: PERCENTAGE DISBURSEMENT OF GEF FUNDS (US\$) BY OUTPUT BY YEAR AGAINST BUDGET AS PER PROJECT DOCUMENT**



SOURCE: UNDP from Atlas.

**FIGURE 2: CUMULATIVE PERCENTAGE DISBURSEMENT OF GEF FUNDS (US\$) BY OUTPUT BY YEAR AGAINST BUDGET AS PER PROJECT DOCUMENT**



SOURCE: UNDP from Atlas.

### Cost effectiveness

26. The FET has not been able to establish many particular examples of the Project being especially cost-effective. That is not to say that money has been squandered or used unwisely – far from it, the normal good accounting practices are evident. But there are some cases of false economies that have led to inefficiencies; two examples:

- payment of low salaries to Project staff in the early part of the Project clearly led to difficulties of recruitment, ensuing low capacity, and rapid turnover of staff in some positions. This is discussed further in paragraph 59; and
- investment in an accounting software package would have led to much greater efficiency of the Financial and Administrative Assistant, who apparently spent most of her time simply typing the vast number of transactions and their supporting documentation into Excel spreadsheets prior to the financial reports being approved, at which time they were then entered into Atlas.

The three significant examples of cost-effectiveness the FET encountered are:

- the innovative double use of funds by the LPO in Uvs where a loan was made to a cooperative to establish a demonstration “*Agro-park*” and when 80% of that was paid back under the terms of the loan, that money was re-invested in the Buffer Zone Community Trust Fund. This is discussed further in paragraph 57 *et seq.*; and
- the location of the information centres inside the soums’ Environmental Units in order to save operational costs (see paragraph 41, 4<sup>th</sup> bullet point);
- the publication of most written materials just in Mongolian thereby saving on translation costs and wastage of producing English language versions for only a small audience – a point many UNDP-GEF projects could learn from.

## MONITORING AND EVALUATION

27. Project monitoring and evaluation has been evaluated as Satisfactory. Monitoring and evaluation of Project activities have been undertaken in varying detail at three levels:

- Progress monitoring
- Internal activity monitoring
- Impact monitoring

28. Progress monitoring has been good and has been made through quarterly and annual reports to the UNDP-CO. The annual work plans have been developed by a lengthy participatory process beginning in November with the LPOs responding to local needs and progress within the framework of the logframe, and culminating in a meeting held annually in December in Ulaanbaatar for all Project staff in which presentations of progress have been made and the details of the workplans are finalised with inputs from the UNDP-CO. The annual workplans were then submitted for endorsement by the PSC, and subsequently sent to UNDP for formal approval. The MPO has also been largely in daily communication with the UNDP-CO regarding progress, the work plan, and its implementation. The MPO has also ensured that the UNDP-CO received quarterly progress reports providing updates on the status of planned activities, the status of the overall project schedule, the products completed, and an outline of the activities planned for the following quarter. These report formats contained quantitative estimates of project progress based on financial disbursements. The UNDP-CO generated its own monthly financial reports from Atlas from data provided by the MPO. These expenditure records, together with Atlas disbursement records of direct payments, served as a basis for expenditure monitoring and budget revisions, the latter taking place bi-annually following the disbursement progress and changes in the operational work plan, and also on an *ad hoc* basis depending upon the rate of delivery. The UNDP-CO has also required delivery projections along with work plans and procurement tables (derived from the annual work plans) that are updated quarterly by the MPO, and these have served as an additional monitoring tool, especially for quantitative estimates of the project progress.

29. From the quarterly reports, the UNDP-CO has prepared Quarterly Operational Reports (150-word fixed-format) which have been forwarded to UNDP/GEF Regional Coordination Unit in Bangkok<sup>12</sup>, and in turn submitted to UNDP HQ and to GEF. The major findings and observations of all these reports have been given in an annual report covering the period July to June, the Project Implementation Report (PIR), which is also submitted by the MPO to the UNDP-CO, UNDP Regional Coordination Unit, and UNDP HQ for review and official comments, followed by final submission to GEF. All key reports were presented to PSC members ahead of their half-yearly meetings. Since the PSC included representatives of the aimags as well as key national ministries, both local and national government has been kept abreast of the Project's implementation progress while Soum governments have been updated verbally by local project staff. Annual Project Reports (APR) covering calendar years (Jan-Dec) were not prepared as part of the annual work plan monitoring tools as required by UNDP's regulations because bi-annual progress reports were prepared for the Government of the Netherlands as part of its funding requirements and these were deemed sufficient. GEF reports were not submitted to the Government of the Netherlands, nor vice versa, but both provided fully integrated reporting on use of all funding.

30. The MPO and the UNDP-CO have maintained a close working relationship, with project staff members meeting, or talking with, CO staff on an almost daily basis to discuss implementation issues and problems. Every two weeks, a more formal meeting between the UNDP-CO and the MPO staff has occurred to discuss, and attempt to resolve, any problems that have arisen. The UNDP-CO has also monitored the Project through numerous field visits by the Environment Team Leader and/or the Biodiversity Programme Officer<sup>13</sup>. They have also participated in a number of project events, e.g. the Biodiversity Programme Officer attended the Regional Steering Committee Meeting (of all three Altai Sayan projects in Kazakhstan, Russia and Mongolia) from 9<sup>th</sup> to 14<sup>th</sup> November 2009; and the Environment Team Leader participated in the study tour on Community Based Natural Resource Management to Namibia in January-February 2010. In addition, the UNDP Resident Representative visited project sites in Bayan-Olgii Province on 17<sup>th</sup>-18<sup>th</sup> March 2010 and in Khuvsgul in July 2011. Furthermore, the UNDP-GEF Regional Technical Advisors based in Bangkok made three visits to the MPO in June 2008, May 2009, and April 2010; as well as field visits to Khuvsgul Aimag in June 2009

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<sup>12</sup> Since start 2011, these reports are entered directly into Atlas.

<sup>13</sup> **2008:** November. **2009:** March, May June, July, August, September, October, November. **2010:** June, August, September, October, December. **2011:** February

and Bayan Olgii Aimag in August 2010. The Project risk assessment has been updated quarterly together by the UNDP-CO with some help from the project team and with the main risks identified along with adequate management responses. None of these risks has been identified as being critical. In general, according to the risk log, the number of risks identified annually has declined substantially since the changes suggested by the MTE have been implemented: 2007 – 16; 2008 – 10; 2009 – 8; 2010 – 4. An independent mid-term evaluation was undertaken on time in the project cycle, the field mission taking place from 24<sup>th</sup> October to 23<sup>rd</sup> November 2008, but the final report was not completed until February 2009. Because the Project is the largest UNDP project in Mongolia, it has been included in the mandatory nationally implemented audit undertaken by a national audit board and in 2011 by an independent company appointed by open tender.

31. Internal activity monitoring has been very good and has been undertaken by the NPM and Local Project Coordinators (LPC) at a number of levels to assess implementation and accomplishments. The Project Document has been used as the over-arching framework guiding the development of each annual work plan where the terms for each activity and its milestones have been closely defined. The annual work plan is revised quarterly according to feedback on progress from staff. In the MPO, work coordination meetings are held at the start of every other week to review progress and outline forthcoming work, and staff exhibit a well-developed capability for independent planning and organisation of their own work and that of technical consultants. External consultants and contractors have been tied to results-based contracts with payments dependent upon satisfactory deliverables or milestones. Coordination between the NPM and the LPCs is close with usually daily e-mail contact and at least weekly phone conversations (surprisingly Skype appears little used, perhaps because of limitations in the internet capacity). In addition to the annual meeting of all project staff in Ulaanbaatar to develop the annual work plan, there is an additional annual meeting of all staff in one of the aimags at the time of the PSC meeting to undertake training, share experiences and to learn from each other.

32. At the LPO level, each Social Mobiliser has his/her own work plan but the LPCs appear to be in almost daily contact with each to supervise activities. The FET examined the work plans of LPO staff which were found to be highly detailed down to sub-activity level giving details of where; when, activity type (e.g. procurement, training, workshop); budget line; proposed budget donor; and person responsible. One LPC interviewed indicated that two weeks prior to the start of any planned activity, he would work with his staff to plan how this would be achieved. Another indicated that he made two monitoring visits to each Soum to check on each Social Mobiliser and Environment Unit, and to target as many Community Groups as was possible to assist with whatever problems they were having. Furthermore, each Social Mobiliser sent weekly time sheets to the LPO – in one aimag, these were submitted through the Soum Governor's offices showing a high degree of integration of the Social Mobilisers into the Environment Units. One LPC indicated that he spoke to the Governor of each of the Soums within his jurisdiction about twice per month to coordinate work and ensure satisfaction with progress; and met the aimag Governor whenever this was possible, usually at PSC meetings or Project events. It appears that each LPC submits a report to the aimag Governor, and Speaker of the aimag Parliament via the Head of the Policy Department. Both LPCs interviewed indicated that there was frequent telephone communication between the four LPCs to aid learning.

33. Impact monitoring by the Project appears to exhibit a strange dichotomy between having been very thorough and largely ineffective. On the plus side, the Project has, with UNDP-CO help, developed capacity scorecards for community groups, buffer zone committees, and the environment units from a generic UNDP toolkit called "*Capacity scorecard*". This is believed to be the first time such scorecards have been developed for these types of groups. They are included as Annex VII and Annex VIII since they may be useful for other countries' projects. They generally appear to have been applied in December of 2009 and 2010 which unfortunately means that the final application is not available to the FE. In addition, the FET has seen a spreadsheet that enumerates pretty much every possible statistic for 69 Community Groups, collected as part of a participatory monitoring and evaluation system by the herder communities since mid-2009. These cover structure, population, capacity building, training, community fund, livelihood, animal husbandry, vegetable growth, fuel

consumption, pasture management, wildlife monitoring and forest management; each category having a range of variables, e.g. pasture management includes the total area managed by each community, households using pasture rotationally, the area of pasture designated for wildlife use, and the number of springs and streams protected. It remains unclear as to what extent the collection of these statistics has influenced the activities undertaken by the Project on the ground, nonetheless such monitoring is far more advanced than the FET Leader has encountered in many projects<sup>14</sup>. METT scores have also been applied to all of the PAs cooperating with the Project, and although these have been undertaken only in Mongolian, the scores have been summarised for the FET and appear under indicator #19 in Annex IV.

34. On the other side of the dichotomy, although a foreign expert had provided a one-week training course in participatory methods to the Project staff in October 2005 in Uvs aimag that included monitoring impacts, it remained unclear to the FET how much of this had actually been implemented. Certainly the two LPCs interviewed knew the theory and indicated that things such as before and after monitoring questionnaires had been undertaken at most training courses, but no hard evidence was seen. Much more worrying was the MPO's Monitoring and Evaluation Officer appeared ignorant of such methods, and eschewed them when they were discussed with him, preferring instead to concentrate on looking for impacts on the ground, e.g. checking to see whether older, poor quality timber is cut after training given on wood-cutting; or whether wool-processing equipment is being correctly used following training. While this undoubtedly provides the ultimate indication of impact, the time period needed to elapse before it can sensibly be measured is often too long to be of use should the activity (e.g. the training) have failed, and something shorter (e.g. measuring whether the knowledge has been adequately transferred) is both more useful and more practical. For example, if the wood-cutting is found to have continued as before, is this because the training failed or some other factor is at play? The monitoring of many of the indicators in the logframe is also fairly poor. While much of this may be due to the fact that the indicators themselves are not SMART, and the Project has struggled with what and how it is supposed to measure, this fact should have been identified and rectified at a much earlier stage of the Project. Finally, although the Project has developed a *Monitoring and Evaluation Plan* dated December 2009, this appears to have been developed from a template and includes mainly generalities about definitions of concepts and results-based management theory. The actual tables such as the M&E Calendar are not filled in, and the M&E tasks table is incomplete. It is clear that the Plan has been undertaken just as a task; not as a meaningful tool to guide monitoring and evaluation of the Project, and hence the FET can see no evidence that it was ever used to guide systematic M&E to influence management decisions.

## PROJECT RESULTS

### DEVELOPMENT OBJECTIVE INDICATORS

35. The revised logframe does not contain a Development Objective and hence it has no Development Objective indicators. The "Project Objective" is really set at the level above this, being worded more as a goal, thus: "*Conservation and sustainable use of globally significant mountain biological diversity in Mongolia's Altai Sayan eco-region*". The Development Objective indicators reported on in the PIRs have been the indicators taken from the Outcomes, and while not really suitable as objective indicators, they are used here as the nearest substitutes.

- Two key institutional/policy documents for community based natural resource management by the end of 2011 are submitted for formal adoption.

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<sup>14</sup> **UNDP comment:** *Suggestion: Have you considered the biodiversity monitoring systems when writing this section? This is also impact monitoring.* **FET response:** No this is not considered here. While the monitoring of wildlife has formed a good part of this project, the FET does not consider it to be "impact" monitoring since the response of the wildlife to any given activity undertaken by the Project is at least once removed from that activity and is often open to other factors. While the FET notes that, for example, the population of Argali sheep has increased in the Project area, it is still not certain that this is a direct response to Project activities; it could just as easily be due to factors such as natural variations in fecundity or prevalence of disease or to other human factors such as decreased hunting in neighbouring countries.



- *Herder Community Regulation*<sup>15</sup> (Regulation #114, 2006 by MNET) was revised and approved by the Minister's Cabinet Session on 22<sup>nd</sup> July 2010.
- A final version of the draft amendment to the *Law on Environmental Protection* to include community-based natural resource management was officially submitted to the MNET.
- Revised land use planning guidelines (incorporating increased attention for biodiversity conservation) developed and endorsed by decree of the Mongolian Government Implementing Agency of Land Affairs, Construction, Geodesy and Cartography (8th November 2010).
- Two Biodiversity Regional Conservation Strategies were approved – that for the Altai by MNET in 2010; that for the Sayan by the Khuvsgul aimag Citizen Representative Khural in 2011
- A trans-boundary cooperation agreement and a Joint Management plan of trans-boundary PA's of Uvs Nuur, Mongolia and Uvs Nuurskay Kotlovina, Russia were developed and formally adopted (2011).
- A transboundary cooperation agreement on ecotourism development and biodiversity conservation was signed between Khovd Aimag and Altai Province of Xinjian Uygur Autonomous Region (China).
- Khuvsgul Aimag Taimen conservation plan was developed and approved by the Aimag Citizen Representative Khural (2010).
- Bayan Ulgii aimag Argali sheep conservation subprogram was developed and approved by the aimag Citizen Representative Khural.

Clearly the Project has achieved this indicator, and more besides – a very good result.

- Demonstrated capacity improvements of institutes responsible for biodiversity conservation in the Altai Sayan eco-region measured by project final evaluation at the end of 2011.
  - Capacity development score card score is increased to 20.7 in December 2010 (Bayan Ulgii 20, Khovd 21, Khuvsgul 19.8, Uvs 22).

The target for this indicator is not set and is written as to be “*measured by project final evaluation at the end of 2011*” which is meaningless. Furthermore, the baseline for the same indicator, is given under another output indicator as 3 points and yet the capacity development scorecard was apparently applied to Environmental Units for first time in December 2009 when the score was 16 points (Bayan Ulgii 14, Khovd 15.5, Khuvsgul 14.5, Uvs 20). Nonetheless, some capacity improvements can be demonstrated for the Environment Units, even if these are not the only “*institutes responsible for biodiversity conservation in the Altai Sayan eco-region*”, e.g. no information is supplied on PAs through METT scores.

- Successful biodiversity monitoring systems combating threats are established at 20 target soums by the year 2011.
  - Approximately 513,500 ha are managed formally by 64 herder groups who are now able to benefit from natural resource improvements in their areas. They have formally adopted new practices, combining pasture, forest, and wildlife management. An additional 5.7 million ha have been declared as a Local Protection Area within Khuvsgul aimag in which no mining is allowed.
  - The FET understands that each of the 64 groups has a voluntary ranger involved in monitoring wildlife numbers.

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<sup>15</sup> Whose full title is the *Herder Community Regulation on Conservation, Use and Possession of Certain Types of Natural Resources*.

The wording of this indicator is weak since a “*monitoring system*” cannot “*combat threats*”, only actions can do this. Nonetheless, with a little creative interpretation, it is clear that the basis of this indicator has been achieved.

- All aspects of ASBP management and implementation are rated Satisfactory or above by independent evaluators.
  - All aspects of the Project’s management and implementation have been rated Satisfactory or above by the final evaluation team.

## SUMMARY EVALUATION

36. Overall, the Project *Community-based Conservation of Biological Diversity in the Mountain Landscapes of Mongolia’s Altai Sayan Eco-region* has achieved most of its major global environmental objectives, and yielded satisfactory global environmental benefits, with only minor shortcomings, and hence the FE evaluates it as **Satisfactory**. The turnaround of this Project has been remarkable since at the mid-term it was evaluated as being largely unsatisfactory. Implementation of a series of astute recommendations, particularly the move of the Main Project Office from Khovd back to Ulaanbaatar which enabled the recruitment of much higher capacity staff and improved communications throughout the Project, and the simplification of a logframe reported as being “*unsuitable for management purposes*”, has produced a whole new management dynamic and enabled the Project to concentrate on two key areas – policy to provide a protective framework and awareness-raising to reduce threats. As a result, a fully integrated set of initiatives has produced a solid and seemingly highly sustainable platform for community-based conservation to operate within the Mongolian sections of the Altai and Sayan ranges. Although one or two pieces remain to be put in place, e.g. the passing of the new *Law on Environmental Protection* with its amendment giving rights to herder communities, much of this remains outside of the Project’s ability to influence. In making this evaluation, it is also important to understand that this success has been achieved in spite of the difficulties with which the Project works. The Project design was undoubtedly overly-ambitious, not least because the area it covers is vast, the population at low density, nomadic, and inhabiting very remote areas reached by little more than rough tracks; and the climatic conditions are extremely difficult with very cold winters (-40°C is not uncommon), and with many of the communities in the Project area cut-off at various times of the year by swollen rivers or snow and reachable only on horseback. In addition, the stakeholders started with a very low baseline capacity with little motivation to be involved with biodiversity conservation, and the agencies with which the people work are under-funded with basic equipment that is often old and of poor quality. The fact that the local population has been so closely supported for over five years, and become so motivated to be involved with conservation and sustainable use of natural resources, is a huge tribute to the work of the social mobilisers who have travelled hundreds of kilometres day in, day out over difficult terrain and in extreme weathers. The FET believes that the Project owes them a huge debt of gratitude. It is, therefore, important that the FET has realistic expectations of what a project such as this can achieve in the time that it has been working, or more importantly in this case, working effectively, and yet it has been pleasantly surprised by the depth and integration of the work achieved (national government – policy and legal framework; aimag – political support and practical direction in implementing strategies; soum – practical support of the community groups; local population – embracement of the issues and eagerness to respond positively), as well as the breadth of its coverage – an amazing 64 herder communities have been officially registered and issued with community certificates.

37. Key Project achievements include:

- changed attitudes and behaviour towards the protection and sustainable use of natural resources by local communities through a new understanding that they have assumed ownership of these natural resources from the state. This has been reinforced by a change in attitude of the authorities who now see their role as that of supporting the local communities in their conservation efforts rather than protecting state resources from the local populace;

- 64 officially registered Community Groups established to manage the sustainable use of natural resources on land covering approximately 513,500 ha;
  - significantly reduced hunting and fishing pressure leading to a measurable increase in the population of globally important target species;
  - establishment of Community Trust Funds for communities living in the buffer zones of PAs, totalling MNT 28,950,380 (US\$ 23,347);
  - loans and grants totalling MNT 159.5 million (US\$ 128,500) provided to 38 Community Groups for implementing activities such as sinking new wells, planting vegetables, repairing winter shelters, and improving the quality of their milk and wool products;
  - revision of the *Law on Environmental Protection* to include an amendment giving herder communities the right to use natural resources sustainably and to benefit from nature conservation;
  - revision of the *Herder Community Regulation* given Ministerial approval;
  - designation and/or extension of nine protected areas (six SPAs and three National Parks) totalling 2.51 million ha;
  - designation of a new Locally Protected Area covering 5.757 million ha from which all mining is prohibited plus six others totalling 365,300 ha in which the local government (aimag or soum) exerts control over the resources (ore, timber, etc.);
  - development of management plans for six protected areas (three specially protected areas, three national parks – one approved, three awaiting approval, two under development)<sup>16</sup>;
  - a trans-boundary cooperation agreement and a joint management plan of the trans-boundary PA Uvs Nuur (Mongolia) and Uvs Nuurskay Kotlovina (Russia) were developed and formally adopted (2011);
  - a transboundary cooperation agreement on ecotourism development and biodiversity conservation signed between Khovd Aimag and Altai Province of Xinjian Uygur Autonomous Region (China);
  - endorsement of the revised land use planning guidelines that incorporate increased attention for biodiversity conservation by the Mongolian Government Implementing Agency of Land Affairs, Construction, Geodesy and Cartography;
  - establishment of 20 Environment Units – one in the Governor's office of each of the target soums (and now replicated nationwide through a Ministerial decree in June 2011);
  - two Regional Conservation Strategies developed and implementation started – the *Altai Mountains Conservation Strategy* endorsed by the MNET; and the *Sayan Region Biodiversity Conservation Strategy* adopted by Khuvsgul Aimag;
  - establishment of 20 information centres for local people and tourists;
  - establishment of 20 eco-clubs; and
  - development of species conservation action plans and programs are developed (e.g. argali sheep, taimen fish, snow leopard).
38. The main problem areas identified by the FET are that:
- loopholes still exist in the Government's practices which remove the incentives for Community Groups to conserve wildlife;
  - the Project's logframe remains inadequate in terms of its indicators thereby making evaluation of achievements difficult; and
  - there has been no use of basic data security protocols by the Project and no transference of these to relevant beneficiaries.

<sup>16</sup> **UNDP-CO comment:** As of 30<sup>th</sup> September, all six management plans were approved by MNET.

39. A summary evaluation by Project Output is given in Table 4 and a more detailed summary of the level of achievements made against the indicators of success contained in the logframe is given in *Annex IV*. Results are discussed below by Project Outcome and key sectoral or cross-cutting issues are then discussed in the ensuing section.

**TABLE 4: EVALUATION OF THE END OF PROJECT SITUATION AS PER THE REVISED LOGFRAME**

Component		Evaluation*					
		HS	S	MS	MU	U	HU
<i>Outcome 1</i>	<i><u>Governments policies, institutional arrangements and capacities are in place to mainstream landscape conservation into development plans in AS region</u></i>						
Output 1.1	<u>National policy and legal frameworks supportive of community resource management and equitable benefit sharing</u>						
Output 1.2	<u>Environmental units operating effectively under local governments in Altai Sayan region to mainstream biodiversity into local development plans and to deter environmental degradation</u>						
Output 1.3	<u>Capacity increased of PA authorities, PA Buffer zone council and soum environmental units in ASR to strengthen community conservation in buffer zone of PA and other relevant places</u>						
<i>Outcome 2</i>	<i><u>Reduction of threats to biodiversity from unsustainable use from local communities in the Altai Sayan region</u></i>						
Output 2.1	<u>Effective community groups are established and actively engage in natural resource management</u>						
Output 2.2	<u>Priority community groups adopt improved natural resource management schedules and demonstrate as best practices</u>						
<i>Outcome 3</i>	<i><u>Effective project management</u></i>						

\* Note: HS = Highly satisfactory; S = Satisfactory; MS = Marginally satisfactory; MU= Marginally unsatisfactory; U = Unsatisfactory; HU = Highly unsatisfactory.

## PROJECT OUTPUTS

40. This section provides an overview of the main achievements of the Project. It is not intended to be a comprehensive account. The material has drawn very heavily on Final Report to the Government of the Netherlands produced by the Project in June 2011, and in several places what follows is an edited version of the material produced therein. The FET acknowledges the work of the Project and thanks them for allowing the FET to reproduce edited sections of the report here.

### ***Outcome 1: Governments policies, institutional arrangements and capacities are in place to mainstream landscape conservation into development plans in AS region***

#### **Output 1.1: National policy and legal frameworks supportive of community resource management and equitable benefit sharing**

41. Perhaps the most important achievement of the Project has been in changing the mindset of key stakeholders about conservation. Several mechanisms were used to promote behavioural change, including:

- Improving knowledge on biodiversity among the residents of the Altai Sayan eco-region: The Project organised a wide variety of trainings and public awareness activities to improve local knowledge about the significance of biodiversity in the Altai Sayan eco-region, nature conservation, and policies and legislation. The Project also promoted the concept of the Altai Sayan as a single region with the routine organisation of “One Day of Altai Sayan” community events in the target soums which promote improved livelihoods of communities through markets for handicraft and other value added products while providing opportunities to promote their activities and share experiences. Although difficult to provide a quantitative measure, all

interviewees were unanimous in their opinion that there had been a significant positive change in the awareness levels about nature and conservation amongst the local population in the target soums that the FET visited. The Project also reports on a review by an international M&E specialist providing semi-quantitative assessments of these changes, but the FET had no time to review the methodological details and hence reports no further on this.

- Improving media coverage of biodiversity issues: In the second half of the Project, the media were more actively engaged with journalists trained on biodiversity concepts. In 2009, training for over 30 journalists of the “Green Globe” club was organised in cooperation with the MNET to improve their knowledge about community management of natural resources so as to be able to promote the concept through the media. Opportunities afforded to journalists to report from the field on the achievements and lessons learned from the implementation of the Project provided the general public with comprehensive information and raised awareness on nature conservation initiatives by herder communities supported by the Project. In addition, several international media paid attention to the project e.g. the *Japan Times*, and a scientific article was published on the Project’s landscape-based approach to conservation in the magazine *Central Asian Survey*.
- Establishing eco-clubs for school children: For the Project to have an impact long-term, it was recognised that the Project had to work with children. Therefore, it supported the establishment of eco-clubs in all 20 target soums. By June 2011 there were 23 eco-clubs with 963 members (366 male: 597 female). The clubs which now operate without the support of the Project, are designed to educate youth on nature and wildlife conservation and to promote the importance of the Altai Sayan eco-region. The clubs have dedicated rooms provided by the schools in which they are based and are lead by teachers. Some like the Blue Water Eco-club visited by the FET in Ulaan Uul have their own “uniforms”. In all target sites it has become common practice to organise weekly one-hour trainings by the soum’s Environmental Unit members to improve environmental knowledge of the eco-club members. Soums have regularly changed experiences with other soums. The eco-clubs perform various activities, such as theatre and singing performances related to environmental issues, competitions, excursions and small conservation projects. The FET was particularly impressed with the materials on display or available to eco-club members, since these provided sound theoretical principles with excellent illustrative and readily relevant examples.
- Information centres for nature, environment and tourism, and support to local museums: The Project supported the dissemination of information to local communities and visitors through the establishment of information centres in all target soums to improve access to information for local people about environmental laws and regulations, and to improve local government information services for tourists. In order to avoid new parallel structures with associated additional operational costs, the “Environmental and Tourism Information Units” were embedded into the existing governing structure, combined with the Environment Units, and are run by existing staff taking on these duties in addition to their current work. The centres comprise information panels, brochures and databases managed by local government and are accessible to everyone. The Project supported the centres and provided necessary equipment such as computers, printers and scanners for its training and public awareness activities. During 2010 an average total of 2,500 soum residents visited the information centres (c. 17% of soum population according local government data). At the Aimag level, two information centres were supported, one each in Uvs and Bayan Olgii, both with a similar structure. Museums in the four aimags were also supported (from 2010) with new information panels to explain about the Altai Sayan Ecoregion and what people can do to conserve endangered species. Wildlife photos were added to existing collections of stuffed animals.

42. Prior to the Project, in 2005, the *Environment Protection Law* was amended to include Article #311 enabling the creation of community groups to use and protect natural resources such as forest, and flora and fauna. While this opened up opportunities for rural residents to manage these resources sustainably for their livelihoods, the definition of the legal status of the community groups remained

vague. Clear provision for benefit sharing, one of the three priorities of the *Convention on Biological Diversity*, was lacking. The Project supported the MNET to assess the existing legislation on Community Based Natural Resource Management (CBNRM). According to the assessment, which involved partners and stakeholders at all levels, several recommendations were made and carried out, including:

- CBNRM concept amended into environmental legislation: The MNET was supported in making further revisions to the legislative framework but found that there was a general lack of understanding amongst decision-makers about community managed areas and that many were not convinced of the feasibility of such an approach. To overcome this and to demonstrate successful community management models, the Project organised a study tour to Namibia in January 2010, with the participation of two Members of Parliament, staff from key ministries, NGOs and a journalist. Namibia was selected since apart from having established highly successful community managed areas, it shares many similar attributes to Mongolia – very low density human population; largely pastoral communities, some living nomadically over vast areas; harsh climate; threatened wildlife; and a nascent tourist industry. As result, key Government officials better understood the main concepts of CBNRM and its possible adoption in Mongolia. This was followed up by a national consultative meeting on 31<sup>st</sup> March 2010, organised by the MNET with Project support, where 54 participants representing different stakeholders agreed to establish a working group to amend relevant sections of the *Law on Environmental Protection* (per Ministers’ Decree 124). Following a wider discussion on CBNRM practices in Mongolia on 9-11<sup>th</sup> June 2010 with 150 participants from national and local stakeholders, the Working Group met five times between June 2010 and March 2011. A final version of the draft amendment to the *Law on Environmental Protection* in which herder communities will be issued certain rights to use natural resources sustainably and to benefit from nature conservation was submitted to the MNET on 28<sup>th</sup> March 2011. Since several other sections of the Law are to be amended concurrently, the proposed law will be submitted to the State Parliament for approval in the session commencing October 2011.
- Updating the Community Based Natural Resource Management (CBNRM) Regulation: The project supported the MNET to improve its *Herder Community Regulation on Conservation, Use and Possession of Certain Types of Natural Resources* (known as the Herder Community Regulation). Through consultations with herder groups, government organisations and partners’ organisations working on community projects, between May and December 2009, the Regulation was revised and approved by the Minister’s Cabinet Session on the 22<sup>nd</sup> July 2010. The revisions to the Regulation include: (1) increasing the maximum contract term for community managed areas from five to ten years; (2) decreasing the minimum number of community members from 20-30 to ten; (3) communities are now allowed to nominate a volunteer ranger from their members; (4) membership is limited to the area of residence; and (5) local authorities now have formal duties to assist communities in their formation.
- Land management: To mainstream biodiversity into other sectors, the Project helped to revise Mongolia’s *Land-use Planning Guidelines* to better incorporate biodiversity conservation. Work commenced in May 2008 and after intermittent work the revised Guidelines were developed and endorsed by decree of the Government Implementing Agency of Land Affairs, Construction, Geodesy and Cartography on 8<sup>th</sup> November 2010. According to the revisions, water, forest and protected area management plans will be incorporated officially into the Land-use Plan for the first time.
- Biodiversity Conservation Strategies for the Altai and Sayan Mountain ranges: One of the flagship activities of the Project was to develop a biodiversity conservation strategy at the landscape level. Since eco-region boundaries do not match political boundaries, planning at the eco-region level is often challenging. To promote an integrated effort at the landscape level, the Project supported the development of the *Altai Mountains Biodiversity Conservation Strategy* (covering the Mongolian part of the range). The process was lead as far as possible by local stakeholders and scientists. They first identified those species that best represent the landscape and whose conservation contributes most to the conservation of the eco-region as a whole. Several studies were also carried out to document the main threats in the region, such as mining

and hunting. Using this data, stakeholders agreed on conservation priorities and developed an implementation plan. The strategy was published and endorsed by the Minister for Nature, Environment and Tourism in 2010. Based on this experience, a draft of the *Sayan Mountains Biodiversity Conservation Strategy* has also been developed and submitted to the MNET, and has been adopted by Khuvsgul Aimag. The MNET recognises that the strategies have proven to be a useful mechanism for promoting conservation at an eco-region level and is interested in developing similar strategies for other regions.

- **Trans-boundary cooperation:** Trans-boundary activities were carried out in cooperation with The Project's sister UNDP-GEF projects in Russia and Kazakhstan, and in collaboration with WWF. Despite proving to be a challenging task, several agreements were signed and direct cooperation between protected areas in Mongolia and its partners across the border has increased. A transboundary cooperation agreement and a joint management plan of the transboundary PA's of Uvs Nuur (Mongolia) and Uvs Nuurskay Kotlovina (Russia) were developed and adopted. The transboundary management plan for the Uvs region was the first of its kind in Mongolia to be developed and formally approved, and the area has since been proclaimed a trans-boundary protected area, the first of its kind in the region. The agreement commits all parties agreed to a 3-year joint monitoring programme for argali sheep and snow leopards. The Project also supported trans-boundary cooperation between Khovd Aimag (Mongolia) and Altai Aimag of Xinjian Uygur Autonomous Region of China to address conservation of biological diversity, which lead to an agreement for the border units' customs officers of the two regions to work jointly on the Convention on International Trade in Endangered Species of Wild Fauna and Flora and on the conservation of trans-boundary biological diversity.

**Output 1.2: Environmental units operating effectively under local governments in Altai Sayan region to mainstream biodiversity into local development plans and to deter environmental degradation**

43. To pursue a policy of sustainable development officers from different sectors need to work together on environmental and other development issues. The Project supported the establishment of Environmental Units in all its target soums through methodological advice and capacity building for the government officers involved (state inspector of environmental protection, ranger and land officer). This brought coherence to their work, and helped to establish communities and involve them in nature conservation. The units have also worked to incorporate biodiversity conservation issues into soum development strategies. The first Environment Unit was established in Khuvsgul Aimag in 2006 and this was then replicated in other target areas – Uvs in 2008, Bayan-Ulgii in 2009, Khovd in 2009. Aimag Governors formalised the units by adopting Environmental Unit statutes (*Nature, Environment and Sustainable Development Unit* in Khuvsgul in 2009; Bayan-Ulgii and Uvs in 2010) to improve the sustainability of their cooperation and activities. In Uvs and Bayan-Ulgii they also established Branch Councils of Environmental Units. These provide recommendations for day to day work, methodologies, and oversight on the work of the Soum Environment Units. This structure was acknowledged by the MNET as a best practice for the sustainable application of CBNRM, being a mechanism appropriate for linking the governmental organisations with the herder communities. As a result, a decision was taken through Ministry Regulation A-221 *On Replication of Best Practices* dated 29<sup>th</sup> June 2011 to replicate this nationwide. Consequently, in some aimags, Environment Units have already been replicated in soums beyond the Project area. The Units within the Project area were equipped with computers, a scanner, a printer and a copier, and their members were trained in several aspects of natural resource management, e.g. pasture management”, community development, and GIS. One of the units' main tasks was to support community groups in their formation and activities, and as a result, several new communities have been formed. However, it is reported that their interaction with the community groups has been stronger in some soums than others, e.g. the unit in Bukhmurun soum in Uvs aimag (visited by the FET) works actively with the herder communities meeting them each month, but the unit in Nogoonnuur soum of Bayan-Ulgii aimag has little interaction with the communities so far. To monitor progress in the development of the Environment Units, a capacity scorecard was developed (see [Annex IX](#)) that measures various aspects of the units, such as their legal status, frequency of meetings, and the knowledge and capacity of the staff involved.

The scores were measured for the first time in December 2009 when the average score was 16 points (Bayan Ulgii 14, Khuvsgul 14.5, Khovd 15.5, Uvs 20) and again in December 2010, when the average score had increased to 20.7 (Khuvsgul 19.8, Bayan Ulgii 20, Khovd 21, Uvs 22). Another measurement is due in December 2011.

**Output 1.3: Capacity increased of PA authorities, PA Buffer zone council and soum environmental units in Altai Sayan region to strengthen community conservation in buffer zone of PA and other relevant places**

44. Despite the focus on conservation in productive land and the community approach, the Project cooperated closely with protected areas throughout its implementation. PA managers and rangers were involved in a variety of trainings organised by the Project and now have good understanding of biodiversity conservation, community development, wildlife monitoring, and using GIS databases. The Project also supported the establishment of new PAs, management planning, buffer zone management, and a community-based wildlife monitoring scheme.

- Establishment of new protected areas: One of the big achievements of the Project has been the expansion of the PA network in the region, for which the Project helped to develop the justification studies and organise consultations. During the project implementation, a total of 6.4 million ha - an area larger than the territory of the Netherlands - was taken under state and local protection. Further justifications for protecting another 324,300 ha were developed and submitted to the MNET. Perhaps the most amazing story relates to the Local Protection Area covering land north of the 50<sup>th</sup> degree of latitude in Khuvsgul Aimag. Apparently a Russian mining company was given a licence by the National Government to prospect for gold in Ulaan Uul Soum. They brought heavy drilling equipment to the area and improved the roads to do so. However, the members of the recently-formed Blue Water Eco-club became concerned over the likelihood of environmental despoliation and, through their parents, objected to the proposed operation. The Soum Governor responded to this grass-roots opinion by revoking the licence within the Soum and ejected the mining company. The latter then appealed to the Supreme Court in Ulaanbaatar, but this ruled in favour of the Soum and the Aimag. As a result, and with the support of all the soums concerned, all land north of the 50<sup>th</sup> parallel became a Local Protection Area - that is some 5.7 million ha in which all mining is now prohibited. A full list of new or expanded protected areas is given in Table 5; see also [Annex X](#).

**TABLE 5: NEW AND EXTENDED PROTECTED AREAS BROUGHT ABOUT WITH PROJECT SUPPORT**

Name	Area (ha)	Type	New	Extended
Ulaan taiga	326,900	Strictly Protected Area		
Chikhertei, Gants mod, and Sagsai Rivers	230,000	Strictly Protected Area		
Jar-Khyaruun	220,000	Strictly Protected Area		
Achit Nuur	94,300	Strictly Protected Area		
Khoridol Sardag Mountain	36,900	Strictly Protected Area		
Tsagaan Shuvuut Mountain	12,800	Strictly Protected Area		
Tengis Shishgit	869,070	National Park		
Monkhkhairkhan Mountain	493,159	National Park		
Maynagan Ugalzat National Park	230,400	National Park		
Sub-total	2,513,529			
Above 50 latitude (Khuvsgul)	5,700,000	Local PA for special needs		
Boorog Balagtai Mountain	150,000	Local Protected Area		
Bayanzurkh Mountain	70,000	Local Protected Area		
Ezerleg Mountain and Chuluut Mountain	60,000	Local Protected Area		
Sharga-Jugneg River Basin	50,000	Local Protected Area		
Alag Tekht Mountain	19,300	Local Protected Area		
Artsnii gom	16,000	Local Protected Area		
Sub-total	6,295,700			
<b>Total</b>	<b>8,578,829</b>			



- Community-based wildlife monitoring scheme: The FET finds that the community monitoring programme to be scientifically soundly based. The same volunteer ranger walks the same route once a month within a narrow band of set dates to allow them to survey in the most appropriate weather conditions, therefore removing as much variation as possible from route, time, weather and observer variables. In one case (Tengis Community Group) three voluntary rangers were involved, taking it in turns to do surveys. The FET believes that this should be strongly discouraged since it introduces considerable inter-observer variability in the detection of animals. Surveys were of medium-sized and large mammals, though in some cases birds are included. Details of age and sex are noted along with their location to the nearest one minute coordinates based on maps supplied to the surveyors. The data are passed through the Environment Units to the PA or aimag where they are entered into the *Biosan* programme developed by WWF. This GIS-based system has baseline raster maps with digital layers overlaying them enabling all sightings to be plotted. The data is interactive so that individual sightings can be interrogated from the map, or all sightings of a given species or observer can be plotted and displayed on the same layer. Unfortunately there is no capability in the software for statistical operations of the data such as examining population trends – the data has to be exported to something like Excel to achieve this. The database examined by the FET in Khuvsgul Aimag was started in October 2010 and does not yet have sufficient data for any meaningful analysis yet – it can only be hoped that in the near future the data are used as the basis for management decisions.
- Protected Area management planning: The Project also supported six PA administrations without management plans to develop these, thus:
  - the management plan for Uvs Nuur Strictly Protected Area was approved by the MNET in 2011;
  - the management plan for Myangan Ugalzat Nuruu National Park was approved by the MNET on 3<sup>rd</sup> November 2008. Implementation began, but the plan was revised in accordance with the extension of the area and was resubmitted to MNET for approval in July 2011;
  - the management plan for Munkhkhairkhan Mountain National Park was submitted for approval in April 2010 but was revised in accordance with the extension of the area and was resubmitted to MNET for approval in July 2011;
  - the management plan for Khoridol Saridag National Park, including the buffer zone habitats, was submitted for approval in May 2010 but was revised in accordance with the extension of the area and was resubmitted to MNET for approval in July 2011. It includes an implementation plan which outlines the structure of its Board with representation from the soum parliament, Governor's Office, Buffer Zone Council and communities;
  - the management plans for Khukh Serkh Nuruu Strictly Protected Area and Mongol Altai Nuruu NP remain under development.
- Buffer zone councils: Buffer zones are a relatively underdeveloped concept in Mongolia and few buffer zones have been successful in establishing their councils and funds. The Project supported 19 buffer zones, whose areas overlap with the community-managed areas. Buffer Zone Committee members were involved in various trainings, and efforts were made to motivate the committees' activities. The Project also helped to expand buffer zone funds, by developing a Regulation where Project beneficiaries had to make donations to the funds when receiving support of the Project. In Uvs Aimag, a new Agro Park was developed with support of the Project and 80% of the loan was repaid and invested the six buffer zone funds of the Aimag.
- Conservation action plans/programmes: Several conservation plans exist at the national level, but not at the local level. The Project assisted in developing a Sub-programme for Argali

Conservation in Bayan-Ulgii Aimag, a Sub-programme for Taimen Conservation in Khuvsgul Aimag, and a Sub-programme for Musk Deer Conservation in Uvs Aimag. All have been approved by the aimags' Citizens' Representative Khurals. The programmes create a policy framework to support herder communities with their conservation activities for the species concerned, outlining principles of proper use and benefits from trophy hunting to be organised by local administrations with the involvement of herder communities.

***Outcome 2: Reduction of threats to biodiversity from unsustainable use from local communities in the Altai Sayan region***

**Output 2.1: Effective community groups are established and actively engage in natural resource management**

45. The main focus for the project's work has been with the herder community groups, especially:

- Community formation and registration;
- Conservation (including wildlife monitoring); and
- Alternative livelihoods.

Before the Project few community groups existed in the region, but now community-based conservation is a common concept. During the Project about 80 herder community groups were formed in the 20 target soums, and of these 64 have been registered officially, issued with community certificates, and have signed contracts with soum governors to carry out conservation activities. The main activities of the herder community groups are given in Table 6. Almost all communities carry out activities in the fields of pasture management and livelihoods improvement, while no more than 25% carry out activities in one or more of the others listed. Details of the number of households involved in, and the area under, pasture management are given in Table 7 and the details pertaining to forestry in Table 8.

**TABLE 6: MAIN ACTIVITIES UNDERTAKEN BY COMMUNITY GROUPS**

Aimag	Pasture management	Livelihoods improvement	Community-based tourism	Community-based wildlife management	Participatory forest management	Taimen conservation
Bayan-Ulgii	17	17	9	7	1	0
Khovd	13	13	5	4	0	0
Khuvsgul	26	26	4	3	11	3
Uvs	24	24	2	3	6	0
Total	80	80	20	17	17	3

**TABLE 7: NUMBER OF PEOPLE INVOLVED IN, AND AREA UNDER, PASTURE MANAGEMENT BY COMMUNITY GROUPS**

Aimag	Number of community households	Number of households with pasture management schedule	Community responsible pasture in total (ha)	Pasture rotationally used with wildlife (ha)	Community protected spring and well
Bayan-Ulgii	262	261	142,500	64,000	80
Khovd	227	459	114,700	65,716	12
Khuvsgul	351	206	80,150	8,000	15
Uvs	418	356	198,961	53,630	34
Total	1 258	1 282	536,311	191,346	141

**TABLE 8: AREAS AND ACTIVITIES UNDER FOREST MANAGEMENT BY COMMUNITY GROUPS**

Aimags	Community managed forest area (ha)	Refined area (ha)	Recovered forest area (ha)	Planted trees		
				Total	Growing trees	Area (ha)
Bayan-Ulgii	4,074	636	14	1,138	1,128	19
Khovd	5	3	-	-	-	-
Khuvsgul	67,937	2,514	-	20	19	< 1
Uvs	13,571	253	21	366	276	24,520
Total	85,587	3,405	35	1,524	1,423	24,538

46. Community fund rules were revised according to Regulation A-250 and almost 80% of the communities have their community trust funds and bank accounts in place. Training on community funds has been conducted for all soums. These funds are used for activities such as providing low interest rate loans for member households, expenditures for their planned activities, contributions to nature conservation activities, and provision of grant aid for members as required. The total amount of money contained within the community trust funds at the time of the FE was MNT 28,950,380 (US\$ 23,347), and loans and grants totalling MNT 159.5 million (US\$ 128,500) had been provided to 38 community groups for implementing activities such as sinking new wells, planting vegetables, repairing winter shelters, and improving the quality of their milk and wool products. Over 1,000 community members were provided with basic skills in the following issues through the various trainings that were carried out by the Project:

- internal coordination and fund management of community
- pasture management
- processing milk and dairy products and “*shar suu*” products
- processing wool and yak hair
- developing small project proposal
- conducting wildlife monitoring
- responsible mining
- processing fruit, vegetable gardening and preservation
- simple method of water quality definition
- forest management

47. Herder group development encompasses a number of issues including group formation, identification of leaders and other functions, development of community plans, and progress in conservation activities. These aspects have been combined into a scorecard which was first used in December 2009. At this time, the average score was 14.3 points (Bayan-Ulgii 12, Khuvsgul 14.5, Khovd 14.6, Uvs 16) but by December 2010, as a result of the Project’s support, it increased to 17 points (Khuvsgul 15, Uvs 17, Bayan Ulgii 18, Khovd 18,). In mid-2009, the herder communities also started to use a participatory monitoring and evaluation system. This was developed by the Project as a tool to enable the community groups to plan their activities and measure the impacts on income levels, on nature conservation, and on social change within the community, as well as giving the Project socio-economic data on the communities that work with the Project.

#### **Output 2.2: Priority community groups adopt improved natural resource management schedules and demonstrate as best practices**

48. The distinction between this output and that above seems particularly blurred to the FET. However, it is apparent that small-scale equipment was provided to a number, but not all, community groups. This included equipment for milk-processing, e.g. for extruding dairy products, packaging; and for wool-processing, e.g. combing and spinning. In these cases the community groups were expected to contribute a proportion of the total cost (c. 20%). The FET watched a number of these equipments being used and the standard of operation was generally low, wasteful, and inefficient, e.g.

one group was using a machine to seal yogurt drinks in plastic containers with a heat-sealed foil top – while sealing two containers, the operator (who was not aware that he was being observed) had to throw away three tops in the process of correctly sealing two containers; a 40% correct operation. More training may be beneficial. Nonetheless, all communities met by the FET reported significantly increased levels of household income and that they had broken even (or better) in respect of their invested contribution. The Final Project Report to the Netherlands' Government indicates that for nine soums in Uvs Aimag, community income had increased as a result of the equipment provided and this is reproduced in Table 9, but it does not report on all such communities so that perhaps not all have experienced such good results. Furthermore, there is no indication over what period of time the figures relate to. Nonetheless, it is indicative of some of the improvements made. However, a wider survey conducted by the Project whereby community groups were asked to assess themselves against four categories shows mixed results (see Table 10). While overall 3.3% consider themselves to be better off and 1.8% less consider themselves to be poor and 1.5% less consider themselves to be lower than average, these results mask considerable differences between aimags. Uvs shows the best performance with 11.5% increase in those considering themselves better off and Khuvsgul shows a similar result with 9.9% increase on those considering themselves to be average and a decrease of 6.3% in those considering themselves to be poor; but Bayan-Ulgii shows a decrease of 4.9% in those considering themselves average or better off and a 6.4% rise in those lower than average, while in Khovd the numbers are more stark – a decrease in those better-off of 11.7% and a rise in the poor of 5.1%. The numbers cannot be viewed purely as a result of Project activities since in 2010 Mongolia was affected by a periodic disaster called a Dzud where a very dry summer is followed by a harsh winter so that food supplies for livestock are insufficient. As a result, in 2010 over 10 million head of livestock were lost countrywide.

**TABLE 9: COMMUNITY INCOME REPORTED FROM PRODUCTS PRODUCED BY SMALL EQUIPMENT (UVS AIMAG)**

Soum	Community	Sales income	Net income	Allocation to community fund
Bokhmurun	Sharkhargai	430,000	360,000	36,000
Sagil	Tsagaanshuvuut	330,000	215,000	65,000
	Khargait	593,300	343,300	49,300
	Khokhkhargai	85,000	55,000	25,000
	Bayanzurkh	180,000	180,000	65,000
Tarialan	Undral	670,000	139,000	17,500
	Khangai khishig	95,000	85,000	5,000
Khovd	Omno otor	450,000	398,000	30,000
Ulaangom	Bayanzuukh	571,500	220,500	90,000
<b>Total</b>		<b>3,404,800</b>	<b>1,995,800</b>	<b>382,800</b>

**TABLE 10: COMMUNITY PERCEPTION OF LIVELIHOOD STATUS IN 2009 AND 2010**

Aimag	Livelihood well-being								Total households	
	Better-off		Average		Lower than average		Poor			
	2009	2010	2009	2010	2009	2010	2009	2010	2009	2010
Bayan-Ulgii	29.1	28.7	40.5	36.0	23.4	29.8	7.0	5.4	158	258
Khovd	32.5	20.8	46.7	50.6	17.3	19.9	3.6	8.7	197	231
Khuvsgul	12.7	14.0	44.9	54.8	35.3	30.4	7.1	0.8	354	250
Uvs	18.9	30.4	59.4	51.3	16.1	15.8	5.6	2.6	249	392
Total	21.1	24.4	48.3	48.5	24.6	23.1	5.9	4.1	958	1,131

### ***Outcome 3: Effective project management***

49. Issues pertaining to the management of the project have been discussed at length through other sections of this report.

## KEY ISSUES

50. The FET believes that since the halfway stage, this Project has been well-implemented and has made considerable progress towards achieving its targets in very challenging geographical and climatological conditions. The aim of this section is to concentrate on those key, and often difficult, cross-cutting issues that the Project has been affected by and where possible to provide some ideas to remediate some of the problems to assist future GEF projects in Mongolia. It is important that the reader keeps in mind that this section is not intended to show this Project in a poor light, rather to improve it and others.

## THE STRATEGIC CONTEXT

### *Broken Links*

51. The Project has implemented a very sophisticated approach to enhancing the communities' role in the conservation of globally important wildlife within the Altai Sayan eco-region involving organising community-level structures, altering the legislative and policy bases to support this, encouraging changes in the awareness and behaviour of the communities and the local governments to support this, and in building all round capacity to facilitate its sustainability. However, sophisticated as this approach has been, the entire Project is still predicated upon the single principle of developing strategic linkages between development and conservation activities in such a way that conservation becomes a source of income and development in its own right. This is, of course, how it should be. In this case, the community groups that have been formed have rightly understood that, although there are many side benefits accruing to them from forming their group, they will benefit primarily (or at least potentially most profitably) from conserving wildlife so that foreign hunters and fishermen can come and pay them for their sport. These payments to communities derive from two sources – a) from a share in the licence fees paid to the State Government by the sportsmen, and b) from private sector companies paying the communities for services such as guiding, transport (horses) or even for conserving stocks. In both cases there are problems.

52. Given the importance of these payments, the FET is concerned to learn that the Government is giving with one hand while taking away with the other. Licence fees for hunting are high – the FET has been informed that to hunt an argali sheep costs around about US\$ 20,000 for the licence alone. Of this, the State Government keeps two-thirds with one-third being paid to the soum on whose land the animal is shot. The wildlife monitoring system in place, enhanced by the Project's activities such as the voluntary rangers, enables a scientific basis for the selection of the soum for the hunt. The problem is that the Ministry of Finance notes which soums will have been paid a share of the hunting licence and the same year (or the next according to one interviewee) deducts an equal amount of money from the soum's budget (paid by the Ministry of Finance). There is, therefore, clearly no incentive for the soum to allow hunting since if it occurs, the soum will pay most (all?) of the licence fee it receives to the relevant community group on whose land the hunt took place, but will then find itself short of the same amount of money to provide its necessary services (in part to the same community). This is perverse in any sense. While the practice is widely known, and was raised by a wide range of interviewees, the FET is surprised that the Project has not attempted to address this issue with the Government, especially as it strikes at the centre of the Project's rationale. The FET therefore recommends that the UNDP-CO raise this issue at the highest levels of Government in order to rectify the problem and establish the proper incentive mechanism upon which the Project is based. Failure to do so will put the long-term sustainability of all the Project gains at risk.

<b>The FET recommends</b> that the senior management of the UNDP-CO raises the issue of negated incentives with the Ministry of Finance in order to ensure that the intended benefits accrue to the local communities in the way the Project envisaged.			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
UNDP-CO (RR/DRR) (also possibly the UNDP-GEF RTA)	Lobby the Ministry of Finance (and other parts of Government if necessary) to remove the budgetary claw-back from the shoes soums hosting trophy hunting	Immediately	Agreement from MoF to rescind the practice of reducing soum budgets by amounts equivalent to licence fees

53. Licence fees are also paid by foreign fishermen wishing to fish for taimen on a catch and replace basis. The FET understands that in this case the licence fee is US\$ 90 and that all of this fee is ultimately passed on by the Ministry of Finance to the community group within whose territory the licence will be effected, and that no compensatory deduction is made. However, the FET came across a worrying development with the Tengis Fish Protection Community. They indicated that the Government was not paying them the correct amount in fees, i.e. that for 2010 they had received a fraction over half of what they calculated they should have received according to their monitoring of the fishermen coming to their length of river. The FET assumes that it is incorrect that the Government would not be paying, and a more prosaic reason lies behind this anomaly. However, on the off-chance that this assumption is wrong, and the Government is not paying the correct amount, the FET suggests (not a formal recommendation) that the UNDP-CO checks the veracity of the payments, if this is possible. So, assuming that the Government's payment is correct, the only reason that the Tengis Community could be expecting more money is if the private fishing companies are paying for a given number of fish licences, but are actually bringing more people to fish than the licences that they have paid. This issue strikes at the heart of the Project once again – if the communities asked and supported in conserving the wildlife are not receiving the income they are due, the entire basis of the conservation activities is rendered pointless and the communities will cease to undertake them. This particular issue is also pressing; the FET was made fully aware that the Tengis Community is disenchanted with the situation and effectively believes the Government is cheating them. This will have to be rectified by the Project. With regard to the fishing companies, the Fish Protection Community members are not empowered to check licences, nor turn away people from their river if they think they do not have a licence, or in anyway police the fishing companies. The only person locally with the power to fine illegal fishermen is the State Inspector and she has to cover a large area, is based about 100km away over very bad roads, and hence cannot really be effective.

54. The answer appears to lie in the legislative basis for the agreement made between the private fishing companies and the Soum Government. Regulation #79 of the MNET, approved by Ministerial Order #79, contains an Article on “*Special permission on rare wild animal and fish for foreign hunters*”<sup>17,18</sup>. This says that for fly-fishing, the Soum Governor and the private company should make an Agreement – however, there is no mention of the local communities. The FET understands that making a change to a Ministry Regulation is relatively easy, and hence recommends that the UNDP-CO and the Project work together to bring this about, such that the relevant Article is changed to include the local Community Group as a signatory in the Agreement with the Soum Governor and the private fishing company; and that other Articles are added to enable the local community group to report on the activities of the private company to the MNET to enable third party monitoring (with evidence) to be fed back to the Ministry to ensure full adherence to the terms of the Agreement and that the fishing company remains a fit-and-proper entity to which to grant fishing licences. The FET also recommends that another Article is considered – that of requiring all visitors to pay a fee for entry to a fishing area in the same way that all visitors pay to enter, say, a national park. Non-fishing entry could be set at a lower level, but the proposed Article should also empower the Local Fish Protection Community to inspect all licences and entry permits to check the numbers match the number of visitors.

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<sup>17</sup> **PIU comment:** Currently MNET is developing new regulation on Hunting of rare animals. The draft of the regulation will be discussed at the Ministerial board meeting in 2 weeks time. If the regulation is approved certain amendments will be made and the project is involved in this process.

<sup>18</sup> **PIU comment:** Additional comment: Prior to the approval of the regulation, the project will organize a discussion meeting together with the MNET involving all relevant stakeholders to make sure that the herder groups' contracting and monitoring issue is integrated in the regulation (October 2011).

**The FET recommends** that the Project works to change the existing Ministerial Regulation #79 to include the local community group in the Agreement for foreign fishermen and to facilitate greater empowerment of the community to police visitor permits and provide feedback to the MNET on fishing companies' activities.

<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
MPO/ UNDP- CO	Lobby the MNET to alter MNET Regulation #79, as below.	Last Quarter of 2011	Minutes of meetings; letters justifying need for change.
MNET	Alter MNET Regulation #79 to a) include the Local Fish Protection Community as a signatory to the licence Agreement; b) empower the same Community to provide feedback to the MNET on the fishing companies' activities; c) introduce a non-fishing entry fee to protected river areas; and d) empower the same Community to inspect permits and licences to ensure the numbers of each tally with the persons present.	As soon as possible	Amended MNET Regulation #79 complete with approval by Ministerial Order.

55. There is one final concern that the FET has over community groups getting to benefit directly from their conservation activities, and that is the potentially toxic mix between free market economics and the fickleness of nature. The companies that offer fishing and hunting trips are in a free market – they have to compete against each other for clients. While advertising will play a big part, word of mouth from those with direct experience and recommendations will be even more important. The key to any company's success will be in its ability to deliver what the clients pay for, e.g. big fish or guaranteed trophies. In time, companies will tend to find favoured locations that produce big fish or enough argali to guarantee a trophy, and hence will return to these time and again in order to ensure that the recommendations from clients continues to confirm their ability to deliver on clients' expectations – after all why risk going to an unknown location which might be good ... but may fail to provide the necessary fish or trophy? A client's bad experience can have a major detrimental impact to such a business. As a result, companies will seek to make agreements with only a small number of soums, and a small number of community groups within these that deliver the required product. It is not beyond possibility that they will settle on just one or two favoured locations and make agreements repeatedly according. There is no reason for the soums or the favoured community groups not to agree to this – after all they will be benefiting financially; but the others will not. In case the reader thinks this scenario fanciful, it is not. The FET Leader knows from experience as an avid travelling birder that many different tour companies go to the same site to look for a particular species of bird (often providing guests with views of the same individual time after time). The investment by companies already into fishing camps and similar suggests that this may already be happening. Unless a mechanism is devised to prevent the few benefitting at the expense of the many, the admirable ideals of the Project will end up failing across much of the area. The most obvious way (although not necessarily the best) is for all monies derived from licence fees (although not from services) to be shared equally amongst community groups within a certain area (e.g. an Aimag); after all the animals use different areas at different times of the year and all those areas need to be managed, not just the one where the animal is caught or shot. However, in doing this, the direct link between a conservation group's activities and the resulting economic reward may be less direct (and therefore obvious), and it may raise spectres from the socialist period. Another alternative may be to implement a semi-legal rota of some sort, maybe under the supervision of the aimag, where soums take it in turns to make an Agreement with the companies concerned (and similarly the community groups within the soum also take it in turn). This may be seen as overly bureaucratic and if demand is low then considerable time may elapse between a group benefitting from successive guests. The FET does not have answers to this problem but recommends that the Project examines it, for while it may not be apparent at present, the exigencies of the free market make it inevitable that it will develop in time. Perhaps lessons may be garnered from the study tour made to Namibia.

<b>The FET recommends</b> that the Project undertakes a study to determine mechanisms for ensuring conservation benefits are shared relatively equally across community groups <sup>19</sup> .			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
MPO	Commission a study to examine possible mechanisms to facilitate equitable benefit sharing across community groups, perhaps with a participatory component to involve the relevant companies and the community groups.	Last Quarter of 2011	Report providing recommendations on equitable benefit sharing

### ***Social Mobilisers – What Next?***

56. The social mobilisers have been the real key to this Project's success. Their tireless efforts in physically demanding conditions have provided the vital link between the community groups and the Project – a technical link, a mentoring role, and a constant source of advice and assistance. This key role has been acknowledged by pretty much all of the people interviewed during the evaluation. They have also provided assistance to, and been integrated closely within, many of the Environment Units established in the soums. Two issues are now apparent:

- **Immediate sustainability:** Community Groups have continued to be formed under the auspices of the Project and beyond, and the sustainability of some of these, particularly those that have been formed towards the latter stage of the Project is viewed as questionable by some interviewees, particularly in the light of the fact that the Project will close down at the end of 2011. The FET explored the possibility of local government taking the social mobilisers onto their payroll, to be paid either by the soums or by the aimags, but except for one interviewee who indicated that a few soums will continue to fund them themselves, a shortage of funding was cited as making this impossible under the present circumstances. The FET understands that funding cannot be made available for everything, however, given the social mobilisers' pivotal role in supporting the community groups, and the lingering concerns of some interviewees over the capacity of some community groups to either maintain themselves or to move forwards (e.g. what happens after the ban on fishing is lifted? There is concern that the groups know how to protect but do yet know how to use the stocks sustainably), the natural role of the social mobilisers is far from over, even if the Project is closing. Given the significant advances made to promote the conservation of wildlife by these community groups in an integrated fashion (the groups themselves; local government support; national government legislative and policy frameworks) it seems something of an oversight for the MNET not to recognise their importance in ensuring the sustainability of the Project's gains.
- **Importance to Environment Units:** In the longer-term and wider view, the FET believes that the MNET, now a champion of Environment Units, really has to recognise the importance of social mobilisers and the integral nature of their role within all Environment Units as the lynchpin between the local communities and local government. The trust that they have engendered in this Project is priceless (see fourth Lesson Learned) and it would be foolish to discard not only this, but a cadre of well-trained staff who could provide a core of experience, as well as training to others, as the Environment Units are replicated nationwide through Ministry Regulation A-221 *On Replication of Best Practices* dated 29<sup>th</sup> June 2011. Money may be in short supply (as always) yet incorporating social mobilisers as an integral part of the soums' Environment Units seems to the FET to be the single most important step in ensuring that this replication of best practice actually achieves results on the ground.

The first of these requires urgent attention, while the latter is more strategic in outlook. Social mobilisers earn US\$ 200/month under the Project, i.e. US\$ 2,400 per year. The total commitment to continue with all 20 social mobilisers for one year, therefore, is just US\$ 48,000 plus the operating costs for their motorcycles. The FET recommends that the Project, with close UNDP support, makes a case to the MNET to fund the continuation of the 20 social mobilisers for at least the year 2012 and at the same time makes the case for incorporation of a social mobiliser into each and every Environment

<sup>19</sup> **NPD comment:** *the recommendation is too ambitious to achieve in the remaining 3 months time of the Project.*



Unit. In the event that the former proves not to be possible, it should look to see if it can fund this from remaining Project funds through a suitable mechanism (e.g. the UNDP-CO) – after all it would seem unlikely that a little over US\$ 48,000 would return anything more effective for conservation than another year of support to the community groups. One other route, at least for some soums, would be to negotiate payment for social mobilisers into the annual contracts signed with mining companies – the so-call Environment Funds.

<b>The FET recommends</b> that the Project works with the MNET to facilitate funding to maintain the 20 social mobilisers in place for at least one year after the Project’s closure.			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
MPO/UNDP-CO	Lobby the MNET to fund the 20 social mobilisers so that they can maintain current levels of support to the community groups for at least 2012.	Last Quarter of 2011	Minutes of meetings; letters justifying need for continuance of social mobilisers.
MNET	Engage existing 20 social mobilisers on a full-time basis as part of environment units within Project soums for at least 2012.	Last Quarter of 2011	Agreement to fund salaries and operational costs of 20 social mobilisers for 2012.
MPO/UNDP-CO	If MNET cannot commit to the above, examine the possibility of the Project using funds from its remaining budget to achieve the same end.	Last Quarter of 2011	Budget and mechanism to fund 20 social mobilisers for one year.

<b>The FET recommends</b> that the MNET incorporates a social mobiliser as an integral member of each and every Environment Unit formed under it nationwide replication scheme.			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
MNET	Engage social mobilisers on a full-time basis as an integral part of the environment units to support CBNRM activities nationwide.	Last Quarter of 2011	Social mobilisers included as a part of all environment units a matter of policy.

### **Microcredit Schemes**

57. In Ulaangom,Uvs Aimag, the Project undertook an excellent initiative of funding a demonstration “*Agro-Park*” which cleverly used the same funds to finance two initiatives. Essentially, an existing small cooperative of 17 individuals engaged in cutting firewood to supply the local market and producing small quantities of sea buckthorn juice from wild plants, were funded to produce the same juice in commercial quantities from a new plantation along with vegetables in return for ceasing to cut firewood. The resulting “*Agro-Park*” was developed on 5 ha of land on the outskirts of the city as a commercial entity and for the purposes of demonstration. Plants, and agricultural and production equipment were supplied plus training. The “*Agro-Park*” has proved to be a great success both in commercial terms, and as a demonstration site as proved by the fact that other operators, trained by the original trainees, have now established plantations of sea buckthorn and some vegetables. The area now under cultivation surrounding the “*Agro-Park*” exceeds 100 ha.

58. The clever part is the recycling of the money. The initial cooperative were loaned a total of MNT 23 million (c. US\$ 18,500) which the NPD suggested should be a non-returnable grant. However, the LPO introduced the idea of 20% grant and 80% interest-free loan and the money paid back has been re-invested into the Buffer Zone Community Trust Funds (BZCTF) in the aimag. This double use of funds is extremely clever and highly commendable, and the LPO should be highly praised for their innovation. The BZCTFs are used, among other things, as a source of micro-credit – small collateral-free loans to community members to develop livelihoods at interest rates well below those offered by banks. While in no way criticising these efforts, the FET finds that in setting up these funds, the Project has missed a rare and golden opportunity. One of the things that micro-credit schemes suffer from generically is diminishing purchasing power. This comes about for two reasons – a) inflation frequently runs at rates above the levels of interest charged and as such the difference represents a loss to the fund; and b) however good the intentions of the borrowers and how ever careful the fund managers, a small proportion of borrowers default on their loan – plans just go astray. Again, the rates of interest charged on other loans cannot make good these loans and the capital value

of the fund decreases. In the instance of the “*Agro-Park*”, the FET believes that the Project had an opportunity to overcome this. Instead of looking for a one-off payment to re-pay 80% of the loan, if the agreement for the initial loan had indicated such a payment (or even 75%) plus a tiny proportion (say 1%) of the annual profits of the cooperative for say 20 or 25 years, there would have been a stable source of top-up available to the BZCTF for that period, based on a sound economic entity established in the first place by the Project, thereby offsetting traditional sources of loss. In discussing this idea with a number of Project staff, the concern was raised that trying to enforce a legal agreement with the Cooperative beyond the life of the Project would be impossible, but the FET believes this not to be so since it could be made through an existing structure, e.g. the Aimag, or directly with those managing the BZCTFs which themselves were designed to be sustainable beyond the lifespan of the Project. During the de-briefing meeting, the UNDP-CO suggested that had they and the Project worked more closely with the UNDP’s Poverty and Human Development Unit, something like what the FET is suggesting may have been possible. The FET reiterates that this was a commendable local initiative but that such a suggestion is valuable and therefore recommends that wherever a UNDP-GEF project deals in Mongolia with micro-credit or related schemes, close liaison with the Poverty and Human Development Unit would be valuable.

<b>The FET recommends</b> that the UNDP-CO’s Poverty and Human Development Unit be consulted on any micro-credit or related scheme planned to be implemented by any UNDP-GEF project in Mongolia.			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
UNDP-CO	Ensure that Poverty and Human Development Unit are consulted for advice re micro-credit or related schemes to be implemented by any UNDP-GEF project in the country	As appropriate in all future projects	Professional advice on micro-credit schemes

### **Compete in the labour market**

59. One of the issues raised by the MTE was the poor salaries paid to staff initially, which meant attracting and retaining quality staff was extremely difficult. It is hoped that the UNDP-CO has subsequently recognised the false economy of paying low wages, the Project having been affected by low capacity and high turnover of staff as a direct result. However, the FTE raises the issue because recruitment from the market place is only going to get harder in the forthcoming years because of increasing competition from a booming private sector. Environmental skills will be required by mining companies for environmental impact studies, and for environmental management planning and mitigation; project management skills will be in widespread demand. The FTE Leader has just completed an evaluation in Turkmenistan where the situation is identical, but a little further along the trajectory, i.e. a developing country with a limited pool of educated and skilled personnel undergoing an economic boom in the private sector through its oil and gas sector. What the experience from that country says is that UNDP salaries for project staff (even current ones), will shortly no longer be competitive, particularly when compared with similar positions in that private sector or, perhaps more relevant, the posts to which prospective UNDP project managers can be enticed into in the private sector. Higher salaries, less bureaucracy, longer term prospects/greater job security, better fringe benefits, more regular working hours all make work in the private sector a much more attractive proposition than working for UNDP, hence in a small pool of capable labour, UNDP will have to adapt to compete more effectively or accept that in Mongolia it will, for the foreseeable future, be forced to be recruiting from a second-class cohort and to deal with the consequences that will bring. Apart from the UNDP-CO looking at easing such problems in attracting suitably experienced project managers by reviewing the salaries it pays and perhaps raising them to make them more competitive, it could look at alternative strategies, e.g. where projects involve the private sector (and particularly the mining industry), directly or even indirectly, co-financing could be sought from it not in the usual form of cash but through an in-kind contribution of an experienced project manager dedicated to the project for its lifetime. This would enable UNDP to overcome the issues of salary, fringe benefits, and job security while facilitating the engagement of high quality, experienced staff.

## Outstanding Strategic Needs

### Structural Reforms

60. The FET views one of the successes of the Project to be the way in which it has integrated the various elements to create a whole – changing the legislation and policy frameworks to give local communities jurisdiction over the natural resources on their land; educating the local people to these changes and what the consequences are; supporting communities in organising themselves and with subsequent management planning, training and provision of equipment; changing the mindset of government personnel from protecting the “State’s resources” to supporting the local communities’ management needs. However, one interviewee pointed out to the FET that in order to achieve full integration and support for Community Groups the MNET still requires some structural reform. The MNET directs the aimag level Department of Nature, Environment and Tourism and pays for its employees. The office-based Departmental personnel are integrated into the Aimag Administration and work in accordance with its requirements. Nowhere within the MNET or constituent Departments is there a structure responsible for dealing with Community Groups and, perhaps, there should be. It was also pointed out that relations and coordination between the local governments and protected areas falling within their territory could be improved if, for example, the Director of a protected area could be made Deputy Head of the Environment Unit of the relevant soums. The need for these reforms probably lies outside of the Project’s remit – just. However, the FET suggests (not a formal recommendation) that during its final months, the Project could raise these issues with the MNET in the hope of catalysing the necessary changes. Alternatively, they could be raised subsequently by the *Strengthening the Protected Area Network in Mongolia* Project.

### Local Level Facilitation

61. Similarly, there is a need to facilitate many of the legislation and policy framework changes at the local level. The concept of CBNRM remains fairly new within Mongolia, and even in the soums and the protected areas where the Project has been active, many of the implications and practical aspects have not yet been grasped by the local authorities. While the Project has concentrated on the Community Groups themselves, less attention has been paid to the staff of these authorities. Work is needed to ensure that the new entitlements of the local communities are understood and fully supported, and that adequate work on aimag- and soum-level regulations is undertaken to ensure that the changes to the national-level frameworks can be properly administered; e.g. staff may require educating, local regulations may need revising, technical notes for local government officers may need drafting. And it needs to be remembered that while local authorities in the Project area may have had some help already, by changing the legislation and policy framework nationally to support CBNRM, this now applies to all soums and aimags, not just Project ones, and those outside the project area will have had no such help. This will need rectifying. The FET recommends that the MNET, with UNDP-CO help, provides sufficient follow-up assistance to ensure all local government and protected area authorities nationwide are able to implement and facilitate the CBNRM within their relevant area of jurisdiction. This assistance could be provided under the auspices of the current the *Strengthening Protected Area Network* Project, or by a relevant subsequent follow-up project.

<b>The FET recommends</b> that the MNET, with UNDP-CO help, provides sufficient follow-up assistance to ensure all local government and protected area authorities nationwide are able to implement and facilitate the CBNRM within their relevant area of jurisdiction.			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
MNET	Provide adequate training and technical assistance to aimag, soum, and protected area authorities to implement and facilitate the CBNRM on the ground	As soon as possible	Unspecified training and technical assistance
UNDP-CO	Provide technical assistance and funds to MNET through appropriate project vehicles to facilitate CBNRM at the local level	As soon as possible	Unspecified technical assistance and funds

## THE PLANNING CONTEXT

### *Project Oversight*

62. Oversight of the Project by the Project Steering Committee has been viewed as generally good by stakeholders. It has been viewed as useful and effective, and the minutes of the meetings indicate that members were engaged with the Project, asking pertinent questions, providing informed suggestions, and interacting to the Project's benefit. However, there appear to be conflicting views as to the adequacy of its representativeness, with some interviewees suggesting that it was wide enough, while others suggest that it was too narrowly-based, e.g. a representative of the Ministry of Finance would have been useful – even though it is also recognised that such a representative would probably not have attended! The recurring absence of the representative of the Ministry of Food, Agriculture and Light Industry was also perceived as a missed opportunity since it is generally agreed that its closer involvement in the Project would have been beneficial. The MTE even recommended its increased attendance, but it seems to little avail. Of particular value has been the presence and support of the Governors of the four constituent aimags, and their help, along with that of the two Members of Parliament, will be vital in garnering the political support necessary to get the *Law on Environmental Protection* approved by Parliament.

63. On the other hand, both the MTE and this FE are more critical believing that the PSC has not provided sufficient advice on key strategic, policy and programme issues, and spent too much time dealing with day-to-day administration, staffing, work plan and budget approval. It has also continued to suffer from a recurring series of conflicting agendas and the minutes show that members often brought their own ideas for the regions to the table and that these were discussed whether they were congruent with the Project's aims or not. One observer even referred to this process as a “shopping list”. It appears that even after the MTE, the inward-looking role bemoaned by the MTE, continued at the expense of the recommended outward-looking role, i.e. of providing strategic guidance and facilitating supportive actions to ensure integrated approaches among stakeholders. While the FET has not seen the first three sets of minutes (only those since the 4<sup>th</sup> Meeting on 8<sup>th</sup> January 2009), it is possible that this approach, at a time when the capacity of the Project and the UNDP-CO was lower than it has been in the later stages, was in part accountable for a less coherent approach towards the Project's activities prevalent prior to the MTE. Certainly, time was wasted in the latter stages discussing and researching issues such as the possible translocation of Argali sheep from Uvs to Khuvsgul aimag, the issue going as far as actually being approved by the PSC at one stage, despite it being far outside the Project's stated aims. It is unclear whether it was intended to use GEF funds for this activity or not (the FET hopes not!) but within the context of this Project, it was finally put to rest when the MNET decided it could not provide adequate funding. The FET recommends that in order to avoid this problem of conflicting agendas in future PSCs, members are more tightly briefed by the UNDP-CO at the start of the Project and as and when such a problem re-surfaces at later meetings, UNDP, as an observer, provides a firmer reminder of the PSC's TOR.

**The FET recommends** that the UNDP-CO provides tight briefings for PSC members regarding the limits of a Project's objectives and GEF funding, and intervenes as necessary to guide PSC meetings where appropriate.

<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
UNDP-CO	Provide clear TOR for potential PSC members outlining the limits of each project's objectives and the use to which GEF funding can and cannot be put	At the start of all future projects	TOR for potential PSC members
UNDP-CO	Provide gentle interventions to PSC meetings to remind members to work within their TOR as necessary	As necessary	Guidance to PSC members during meetings

### ***Sustainability***

64. The sustainability aspects of this Project have been taken extremely seriously and management appear to have been developing an exit strategy for the past two years. Part of this has been the production of a Sustainability Plan which has been updated over time. This is the first such Sustainability Plan that the FET Leader has seen produced by any project and the concept should be taken as best practice and hence the FET recommends that such a plan should be produced for all UNDP-GEF projects although it is not sure how such a global recommendation would be transmitted or acted upon. Certainly, at a country level, it should be continued. That said, however, the Plan itself has weaknesses. It is structured similarly to a logframe with a column "*Result*" equating to the Outcomes; "*Product*" equating to the Outputs; then a column "*The competency built by the result of the project achievements*" listing defined results, e.g. Eco-club (which in a better structured logframe would probably be a real output); and finally three columns defining the "*Organizations taking over responsibility*", "*Tasks of stakeholders that will be in charge*", and "*Various issues to be focussed on during the project implementation*". It is this latter column which could be significantly improved since at present the issues listed are fairly generic, e.g. "*to organize trainings for eco-club teachers*". No details are supplied as to how this will be done. The FET suggests that a more detailed approach could be expected itemising, and using the same example, what type of training should be carried out; where; who is responsible for that training; and crucially, when it is planned for. Although it may be that much of this detail is to be found in the annual and quarterly work plans, if the Sustainability Plan is to be effective it should really be able to stand-alone and guide the exit activities to a successful conclusion. Perhaps, like the Monitoring and Evaluation Plan (see paragraph 34) it has been derived from a generic set of project management guidelines which either require more work themselves, or better interpretation or development by project teams. In this particular instance, the FET recommends that for the last quarter of the Project, the Sustainability Plan is re-vamped to provide a full list of tasks necessary to accomplish the issues already listed (i.e. to include the what, where, who, and when indicated above) and that the Plan is updated at least every month to ensure that the activities required are actually completed in time, and that none is overlooked.

**The FET recommends** that a Sustainability Plan be produced and implemented by all UNDP-GEF projects.

<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
UNDP-CO	Ensure that all UNDP-GEF projects in Mongolia produce and implement a Sustainability Plan	Within all existing and future projects	Sustainability Plan
UNDP-GEF RTA	Provide guidance regionally that Projects should develop and implement a Sustainability Plan as part of good management practice	As soon as possible	Guidance to projects

<b>The FET recommends</b> that the Sustainability Plan be expanded and updated to include the details necessary to provide greater definition to the required activities.			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
MPO/UNDP-CO	Ensure that all UNDP-GEF projects in Mongolia produce and implement a Sustainability Plan	By start of last Quarter 2011	Details of activities required – what, where, who, when
MPO	Use the Sustainability Plan as a working document, updating it on a weekly or fortnightly basis to guide all exit activities.	Last Quarter 2011	Use of Sustainability Plan as an active checklist

65. In reviewing the likely sustainability of this Project, the expectations appear very good. The institutional sustainability appears strong with much political will evident at all levels of government. The MNET has supported the Project throughout and a number of policy changes have been incorporated into existing regulations as a result. Although the proposed new *Law on Environmental Protection* is not guaranteed passage through the State Parliament, the MNET remains optimistic that it may be achieved. The MNET has also recognised the value of the concept of Environment Units at the soum level, and through Ministry Regulation A-221 *On Replication of Best Practices* dated 29<sup>th</sup> June 2011, these are now being replicated on a nationwide basis. At the aimag level, environmental issues are recognised as key priorities in most policy documents, and support has resulted in the commencement of implementation in the two Regional Conservation Strategies produced by the Project, e.g. in Khuvsgul Aimag the Governor has produced an Action Plan which includes the need to “*improve biodiversity conservation*”, and while such wording may be a little vague, more concrete actions include the formation of a 13-member Working Group chaired by the Vice-Governor to oversee the Strategy’s implementation under Article 6 of the overarching development policy – the *Programme for Development of the Social Economy of Khuvsgul Aimag 2008-2015*. Furthermore, again in Khuvsgul, the Aimag Citizens’ Representatives’ Parliament now requires development programmes to be produced by all soums with the one produced with the Project for Tsagaannuur Soum being recommended as a model. At the soum level, support for the herder groups in particular is strong with Governors integrating the Environment Units into their administrations to provide the necessary support. The FET recognises that in some instances the capacity of these groups to continue to provide the support necessary to nurture the community groups is adequate, but in others it is barely so, and at least one Soum Governor expressed concern that these officials will not be able to carry out their activities to the same level without the Project’s support. The Community Groups appear to vary greatly in their capability, although those met by the FET all seem to be exemplary, stable, and looking at ways to grow, e.g. some were looking to join forces to be able to form co-operative which would give them the right to government documentation to allow them to sell their food products more widely, e.g. to schools. However, a number of interviewees who were not members did express doubts over whether some of the Herder Community Groups would be able to be sustainable. Most concern was expressed over recently-formed groups who would need most support at the point that the Project was closing down. The FET notes that it appears there is a sort of “sustainability hump” that the Community Groups need to get over if they are to survive, and this means that they require considerable help in learning about how to organise themselves, conduct meetings, set up and administer trust funds, etc. as well as learn about new ways to manage pasture/forest/fish. Once over this “hump” sustainability appears to be moderately assured – the question for many appears to be whether without the Project’s help the Environment Units have the capacity to provide enough support to get these newly-formed groups over that “hump”. In the FET’s view, some may well fail, but the perceived benefits to members appear to be so great that there is a considerable will to succeed – and that may be half the battle. One interviewee also made a particularly incisive comment, “*Groups that form because they want to will succeed; those that form because they want support from the Project will fail*”.

66. The outlook for the long-term financial sustainability of the Project is also generally positive. The FET understands that the MNET has agreed to pay the costs associated with the Environment Units, and that at least Khuvsgul Aimag is optimistic of receiving an increase in funding from the State for its budget of 2012 for which it has submitted increased proposals to cover activities to

implement the Sayan Regional Conservation Strategy. This said, however, the FET also refers the reader to finance issues discussed in paragraph 22 *et seq.*, i.e. the interrupted links between the conservation benefits and the community groups and the lack of money for a continuation of the social mobilisers. The social sustainability of the Project appears particularly solid. The awareness-raising activities have certainly been beneficial and undoubtedly changed people's minds at the community level as regards hunting, conservation, and the use of natural resources. The empowerment of local communities to recognise the natural resources as theirs to use as they see fit is a major turnabout and is the lynchpin upon which all behavioural change has occurred. Long-term planning is now very much in evidence, e.g. the three-year ban on fishing for taimen and Darkhad whitefish to allow stocks to recover, and although many communities have their eyes set on the future benefits they believe trophy hunting and fishing will bring, there is a recognition that other economic benefits accrue through better management of their resources. This social aspect has been cleverly reinforced by the Project's activities which means that now the local government agencies see their role as that of helping the communities to manage their own resources rather than to protect the State's resources from the people. Economic sustainability is ultimately the key to everything, and this generally appears to be strong with the one proviso that the link between the economic gains expected as a direct result of conservation activities are reinforced and not broken – see paragraph 51 *et seq.*. If the current disincentives are removed, then the economic sustainability looks particularly bright, but even if this does not come to pass, other activities have already catalysed modest increases in community incomes, e.g. from milk and wool processing equipment supplied by the Project, and perhaps more interestingly from improvements particularly to pasture management but also to forest management and in some cases alternative incomes such as the production of sea buckthorn juice. Therefore, notwithstanding the need to iron out certain anomalies (broken links – paragraph 51 *et seq.*; need to employ social mobilisers for another year – paragraph 56), the FET evaluates the likely sustainability of the Project as Highly Satisfactory.

## THE MANAGEMENT CONTEXT

### *Country Driven-ness and Coordination*

67. Any assessment of country driven-ness should first look at the executing agency, here the MNET, and then at the wider Government. The MNET has been engaged fully with the Project throughout, shown itself to be a keen supporter of the Project and its aims, and to be open to new ideas and approaches championed by the Project, e.g. the adoption of the idea of Environment Units which are now being replicated on a nationwide basis. Indeed, the approval of the *Herder Community Regulation* and of the two Biodiversity Regional Conservation Strategies as well as its support for the draft amendments to the *Law on Environmental Protection* to include community-based natural resource management which it will table to the State Parliament in October 2011 provides a very effective policy (and legislative) platform for most of the Project's other achievements. While there is some anxiety over whether the Parliament will pass the legislation, they are reputedly not against it rather simply focussed on other priorities, the MNET is cautiously optimistic that it may go through. Aside from this, at the wider government level, the transboundary aspects of the Project have also been supported with a trans-boundary cooperation agreement between Russia and Mongolia and a joint management plan developed and formally adopted for the PAs of Uvs Nuur and Uvs Nuurskay Kotlovina. In addition, the Mongolian Government Implementing Agency of Land Affairs, Construction, Geodesy and Cartography endorsed the revised land use planning guidelines that incorporate increased attention for biodiversity conservation. Support has also been very strong at the aimag level with the governors of the four target aimags fully engaged on the PSC. Concrete examples of their involvement include the development and approval of the Khuvsgul Aimag Taimen Conservation Plan and the Bayan Ulgii Aimag Argali Sheep Conservation Sub-programme, as well as the transboundary cooperation agreement on ecotourism development and biodiversity conservation between Khovd Aimag and the Altai Province of Xinjian Uygur Autonomous Region (China). As one interviewee noted, “*the Project has acted as an example of how to increase the capacity of [local] government and now the Aimag Governor is pushing other projects to do the same*”.

## ***Project Management***

### **Project Implementation Team**

68. It is clear that management of the implementation of the Project was originally challenging. Moving the MPO from Ulaanbaatar to Khovd in line with the requirements of the Project Document was a mistake, and cost the Project a competent NPM. The capacity of her successor was found to be suspect and according to the MTE report:

*“Decision-making appears to have been inflexible and top-down in style rather than collegial. The MTE were informed that the training officer is used as an office assistant.”*  
and

*“There is a large cadre of staff many of whom have little understanding of the project or its functions. **MTE recommendation (3)** is to appoint a number of lead and thematic experts on a short-term or part-time basis with responsibility for driving the implementation of key project outputs forward and training project staff.”*

There was also

*“... widespread dissatisfaction with the rates of pay, DSA rates, and the policy of not paying employment insurance (pension) or health insurance.”*

And the MTE also reported that:

*“One unanticipated problem was the effect of locating the head office in Khovd aimag centre. This proved problematic for a number of reasons. As a communication centre for the project, Khovd suffers from a number of disadvantages as compared with Ulaanbaatar, and partly for this reason Khuvsgul became isolated from the rest of the project. Secondly the project was unable to find highly trained staff who were prepared to work in Khovd for the UNDP salary offered. Thirdly, the ITA and other senior staff were unable to interact with project partners who are mostly based in the capital.”*

69. The FET is happy to be able to report that the changes implemented as a result of the MTE have rectified the situation completely. The move back to the capital has helped not only with better communications and re-engaged Khuvsgul fully in the Project, but in securing high quality staff. Both Mr. Batnasan and Mrs. Chimeg were/are highly regarded by their staff, the former having left only because of an opportunity to take permanent employment with another UN agency. The FET found MPO staff to be generally competent and working well as a team; as one member said there had been conflict in the past but *“now we are a team – one family”*. Management supervision is close but not tight, staff appear to have considerable freedom manage their own work and implement their activities within the framework of the work plans. Inter-office communication is now deemed to be good. At the local level, management also appears competent and supervision adequate. There is no evidence that the frequent turnover of project managers at the national level has had any great or detrimental impact at the local level, in fact the staff at the MPO reported such changes as having a much greater level of disruption, staff needing to accommodate new approaches. The two LPCs interviewed indicated that they provided close support to their Social Mobilisers as and when required making regularly scheduled visits to the soums and/or community groups as well as *ad hoc* trips as necessary. This was confirmed independently by the Social Mobilisers interviewed. The FET believes the Social Mobilisers to have been the cornerstone of the Project – they have travelled hundreds of kilometres day after day over difficult terrain and in extreme weathers to provide an exemplary level of support to a nomadic population living at low density across very remote areas, and in doing so have educated these stakeholders and raised their awareness of natural resource management and sustainable use; trained them in a wide variety of skills, and supported and empowered them to make their own collective decisions and, in most cases, to become fully independent of the Project as self-sustaining entities. The FET is not alone in paying tribute to their commitment and dedication.



## UNDP Role

70. The FET finds that the UNDP-CO has generally been highly supportive of the Project. This is perhaps not surprising for a country office heavily involved with GEF-funded projects and with this being the largest project of any sort within the UNDP-CO's portfolio. Nonetheless, such high levels of support have not always been the case, and without getting involved in personality issues or wishing to put praise on individuals, the FET cannot ignore the many unsolicited comments, mainly from Project staff but also from other sources, indicating how effective and supportive the present Environment Programme Officer, Mr. Onno van den Heuvel, has been. While many programme officers in many country offices provide similar levels of support for projects, usually through daily contact as here, the FET identifies the additional fortnightly formal visits made to the MPO as being particularly noteworthy and effective, giving the NPM and the staff a scheduled time in which they can raise problems and seek advice over and above the more *ad hoc* contact.

71. On the debit side, the usual problems of the bureaucratic UNDP procurement system were raised, particularly the point that it is not adapted to the Mongolian context. While the need for regulation of large sums of money is fully understood by both the TEF and the Project, nonetheless the point that the Project makes seems valid, i.e. that the need to obtain three bids for everything is not beneficial to the Project since it almost inevitably means that everything ends up having to come from Ulaanbaatar which requires transportation, thereby escalating costs. If the Project makes the ToR for a contract or supply specific to a local area, then three bids are usually not forthcoming. Perhaps increases to exemption levels could be considered. Currently, the NPM can sign with the Finance Officer for contracts/procurements for up to US\$ 500; anything above requiring the signature of the NPD. For personnel contracts, three bids are required for any technical contract over two weeks in length or one month for a support contract. If only two responses are received (common because of low capacity issues) the bid must be re-tendered. Perhaps, given the circumstances, the UNDP-Co could look again at this and see that if only two responses are received (particularly for technical contracts) whether it would be possible to continue with the process without having to repeat the tender, thereby avoiding what is reported as significant delays.

## Adaptive Management

72. The adaptive management displayed by the Project has been outstanding, and the Project stands as a truly excellent example of the value of a perceptive MTE. It is very clear to all that without the recommendations made by the MTE, and their full implementation by the UNDP-CO and the Project, the Project would have failed. That it has not, and that it has gone on to produce very successful achievements, is nothing short of remarkable and a testament to the hard work and skill that the Project staff have displayed. The move of the MPO back to Ulaanbaatar from Khovd together with a reassessment of salaries and benefit packages resulted in highly capable management and technical staff being able to be employed; the simplification of the logframe brought focus and understanding in place of confusion and uncertainty. Since the MTE, the internal activity monitoring of the Project has been good and the results of this are available for use by management to influence decision-making, but to date do not appear to have been needed.

## GEF Identity

73. On page 6 of the Project Document, it is stated that:

*“A GEF logo should also appear on all relevant GEF project publications, including among others, project hardware and vehicles purchased with GEF funds.”*

The FET found that while GEF logos were present on all publications examined, they were present only on some of the signs erected at various locations by the Project, and were absent entirely from all Project offices, vehicles, business cards, information centres, etc.. While the causal links between the integrated ecosystem management activities and the underlying gains for biodiversity conservation are well made in the Project Document, on the ground these have to all intents and purposes been lost, and in most instances the Altai Sayan Project appears more of a social development project rather than a biodiversity conservation one. Almost all stakeholders view the Project as, and refer to it as, a UNDP

project, thereby equating it to being a standard social development project as per any of the bilateral or multilateral donors. Indeed, one community noted that this project “*was different from most projects in that the Project had required them to undertake some activities prior to receiving [milk-processing] equipment whereas most projects just gave away such things*”. This lack of identity as a GEF project is much more than a point about flag-waving for GEF. GEF projects are special in that the international community is funding the incremental costs associated with the extra efforts needed to manage and conserve globally-important biodiversity. The FET finds no evidence that the beneficiaries or other stakeholders showed any understanding of this global dimension of the wildlife around them, and it is unclear whether Project staff had ever raised it with them. In the view of the FET, this represents a major missed opportunity. Organisations such as RARE<sup>20</sup> work from the point of view of stressing the global importance of species or habitats in an area and instilling pride in the local communities (villagers, schools, businesses) that they have these species present through focussed Pride campaigns, and then building social development around this necessary to support the long-term conservation. While still more needs to be made of this approach in the design of GEF projects in general, a point the FET Leader has been making for years, it is disappointing to find that now the basics of the need for GEF branding are incorporated into the project documents, that this aspect is simply being ignored by the project teams implementing the activities. Furthermore, while most of the strategic linkages between development and conservation have in this project been developed around hunting and fishing as the source of income derived from conservation activities, should this change in the future such that nature-based tourism becomes an important sector for the Altai Sayan, then such an approach would be critical to any plan since the main attraction for the nature-based tourists will be the special species that they come to see, not the supporting cast of the infrastructure and social community, although these can themselves add to the experience. The FET recommends that this be rectified in future projects in Mongolia – but that it is now too late in this case to make any meaningful changes; indeed attempts to introduce the GEF brand and its underlying message at this late stage would be only counterproductive and lead to confusion among stakeholders.

<b>The FET recommends</b> that appropriate visibility is given to the GEF logo in other UNDP-GEF projects implemented in Mongolia, and that the underlying rationale is explained to stakeholders wherever possible. <sup>21</sup>			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
UNDP-CO	Ensure that the GEF logo be included appropriately on all vehicles, signs, banners, business cards, and publications	From the start of all new UNDP-GEF projects	Correct visibility for GEF
UNDP-CO	Ensure that the underlying rationale of GEF be explained to stakeholders wherever possible, and be included in any communication, education and public awareness strategy as appropriate	From the start of all new UNDP-GEF projects	Message re global importance of biodiversity that the project is targeting

## Back-ups

74. The FET finds that the Project has no written policy on computer back-up procedures, nor does UNDP appear to have a policy on this, perhaps considering projects not to be part of their IT system. As a result, a range of back-up procedures occurs across the different offices – all inadequate. Each member of the MPO backs up their individual laptops pretty much according to when they remember; this seems to be anything from an interval of one month upwards. The LPO pretty much does not bother – one office member interviewed saying that he did it once a year! Back-ups, when they are made, are made onto a variety of media – some to external hard drives; some to DVDs. In several

<sup>20</sup> <http://www.rareconservation.org/>

<sup>21</sup> **RTA comment:** We are taking serious measures to ensure the full compliance of any GEF funded projects with the GEF Communication and Visibility Policy. Every UNDP Country Office, project team and government counterpart is briefed about the policy with the policy document sent to them. The policy content as well as the significance of the GEF funded projects in the global efforts for the maintenance of biodiversity are fully explained at the inception workshops and other fora to the project team, national executing agencies and other stakeholders. We will step up the efforts to spot check the compliance through our field monitoring visits.

cases, the point was made that there is a paper copy of most of the files so back-ups are not really necessary. Furthermore, the FET found that in the one aimag (Khuvsgul) where it had the chance to view the biodiversity database system that collates all of the monitoring data collected by the voluntary rangers, that database was also not backed-up rigorously – just every six months or so. Perhaps even more alarming is that none of the Environment Units perform any sort of computer back-up. Where computer back-ups are made, the back-up copy on whatever medium is invariably stored in the same office, usually in close proximity to the computer itself (as are many of the “safe” paper files), although the FET understands that for some of the time the NPM’s external hard drive travels with her. Also of concern is the fact that none of the computers examined – MPO, LPO, aimag, Environment Unit – had anything approaching a robust anti-virus system in place. What software was present represented simply a free trial version of a non-standard software package, usually totally out of date, e.g. the software on the aimag database’s computer had not been upgraded since January 2011.

75. When questioned, various members of various staffs all indicated that the major consideration is protection against a computer virus or a hard disk crash. Worryingly, the Environment Units generally answered that since they were not connected to the internet they were unlikely to get a virus, and the possibility of a hard disk crash had not occurred to them. Only one indicated that they really should have protection because members of the local community were frequently bringing flash drives to the office to exchange information and that these often had viruses. The FET found significant viral threats (worms and Trojan horse) unaddressed on three computers – two Environment Units and the aimag database. In no case, including the MPO, had the eventuality of fire been considered. Should there be a fire in any of the offices, all data pertaining to that component of the Project would be lost since the back-up are stored in the same room. In this project, the fire risk is considerably higher than the FET Leader has previously come across because of the wood fire stoves that are used to heat many of the offices (particularly the Environment Units). Given the value of the data (in terms of the number of man-hours taken to collect it and possibly the irreplaceable nature of some of it), a rigorous system of back-up and virus protection should be initiated with immediate effect. Back-up discs should be stored in a fireproof safe or in a building separate to that housing the working computers.

<b>The FET recommends</b> that a rigorous system of computer back-up be instigated with back-up copies being stored in separate locations or within a fire-proof safe within the office. Similarly, back-up lists of computer passwords should be stored securely.			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
PIU	Determine and implement a policy for backing up all project computer data on a weekly basis	Immediately	Back-up policy in place and procedures in operation
PIU	Ensure copies of data are kept separate from each other and from the project office	With immediate effect.	Procedures for ensuring original data and their back-up copies are kept separately.
PIU	Consider purchase of a fire-proof safe for keeping one set of computer back-ups and other valuable project information in	As soon as possible	Fire proof safe installed in the office.

76. A corollary to the situation found is that it is not enough for UNDP-GEF projects in Mongolia (and elsewhere for that fact) just to supply agencies and project units with computers and to believe that the IT part of the job is complete. All relevant agency/unit/office personnel should be taught about the need for anti-virus protection, how it works, how to keep it current, and the costs that accrue for annual/bi-annual licences. They should also be taught about the need for a rigorous system of back-up procedures to be put in place and acted on, and relevant people made responsible for ensuring this task is completed appropriately. Ideally, two back-up discs should be kept – preferably external hard-drives, but DVDs may be appropriate in some cases. These should preferably be kept in a fire-proof safe in each office, and only one copy withdrawn and worked on (or transported outside the office) at any one time. All computers should be backed up once a week, with the two sets of back-up media being used alternately so that in the event of a virus infection or crash corrupting both the source and the back-up, the other back-up remains safe and the maximum period of data loss is limited

to two weeks. In the event that fire-proof safes prove too expensive or are unavailable, the same procedures should be instigated but the back-ups kept in a building different from that which the office is located in – not just a different office!

<b>The FET recommends</b> that UNDP-CO instigates a training course on data security to be given in every case computers and associated equipment are provided to beneficiaries using GEF funds, and adequate anti-virus software and funds to keep it current for at least the lifetime of the project are provided with every computer supplied.			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
UNDP-CO	Develop a training course on data security for all project staff and project-related beneficiaries. Such a course should include a basic policy covering virus protection and back-ups	All future projects	Data security course
UNDP	Ensure adequate procedures are being adhered to by all project staff as part of the CO's normal M&E/audit procedures	All future projects	Regular checking that procedures are being applied correctly
UNDP	Ensure adequate funding is budgeted for back-up media and for updating anti-virus software in the budgets, both at the design stage of projects and during the budgeting for annual work plans	All future projects	Adequate funding for data security

## RECOMMENDATIONS

77. The FET notes that the UNDP-GEF has been combining and sequencing different projects using various funding sources to achieve sustainable impacts in the field of community-based natural resource management and protected area strengthening in Mongolia and the recommendations made throughout this report have been made to provide both a sustainable closure to this project as well as to influence others. In particular, the *Strengthening Protected Area Network* Project which has just commenced may be able to implement some of these recommendations should the current Project have insufficient time and/or resources to complete them. These recommendations have been listed below approximately in order of importance as perceived by the FET, with cross-references back to the paragraphs where the issues are discussed.

- The senior management of the UNDP-CO needs to raise the issue of negated incentives with the Ministry of Finance in order to ensure that the intended benefits accrue to the local communities in the way the Project envisaged – see paragraph 52.
- The Project should work to change the existing Ministerial Regulation #79 to include the local community group in the Agreement for foreign fishermen and to facilitate greater empowerment of the community to police visitor permits and provide feedback to the MNET on fishing companies' activities – see paragraph 54.
- The Project should work with the MNET to facilitate funding to maintain the 20 social mobilisers in place for at least one year after the Project's closure – see paragraph 56.
- The MNET should incorporate a social mobiliser as an integral member of each and every Environment Unit formed under it nationwide replication scheme – see paragraph 56.
- The Project should undertake a study to determine mechanisms for ensuring conservation benefits are shared relatively equally across community groups<sup>22</sup> – see paragraph 55.
- The Sustainability Plan should be expanded and updated to include the details necessary to provide greater definition to the required activities – see paragraph 64.
- A rigorous system of computer back-up should be instigated with back-up copies being stored in separate locations or within a fire-proof safe within the office. Similarly, back-up lists of computer passwords should be stored securely – see paragraph 75.

<sup>22</sup> <sup>22</sup> **NPD comment:** *the recommendation is too ambitious to achieve in the remaining 3 months time of the Project.*

- The UNDP-CO needs to instigate a training course on data security to be given in every case computers and associated equipment are provided to beneficiaries using GEF funds, and adequate anti-virus software and funds to keep it current for at least the lifetime of the project are provided with every computer supplied – see paragraph 76.
- Appropriate visibility must be given to the GEF logo in other UNDP-GEF projects implemented in Mongolia, and that the underlying rationale is explained to stakeholders wherever possible – see paragraph 73.
- A Sustainability Plan should be produced and implemented by all UNDP-GEF projects – see paragraph 64.
- The UNDP-CO should provide tight briefings for PSC members regarding the limits of a Project's objectives and GEF funding, and intervenes as necessary to guide PSC meetings where appropriate – see paragraph 63.
- Produce a small publication of lessons learned and case studies from the Project for use by other UNDP country offices – see paragraph 78.
- The MNET, with UNDP-CO help, should provide sufficient follow-up assistance to ensure all local government and protected area authorities nationwide are able to implement and facilitate the CBNRM within their relevant area of jurisdiction – see paragraph 61.
- UNDP-CO's Poverty and Human Development Unit should be consulted on any micro-credit or related scheme planned to be implemented by any UNDP-GEF project in Mongolia – see paragraph 58.

## LESSONS LEARNED

78. The Project has developed an important institutional memory of experience and anecdotes, and this should not be allowed to be lost with its closure. There are a number of issues that would make interesting case studies for an international audience, e.g. the one outlined in the first bullet point of paragraph 44 about the eco-club and the huge Local Protected Area, and similarly there are many lessons learned that would do the same. The FET recommends that if the Project has time and money, it should gather these together in a small publication for use by other UNDP country offices.

<b>The FET recommends</b> that the Project should produce a small publication of lessons learned and case studies from the Project for use by other UNDP country offices.			
<i>Responsibility</i>	<i>Task</i>	<i>Time frame</i>	<i>Deliverable</i>
PIU	Gather together lessons learned and case studies from this Project's experience and publish them as a small booklet.	By project end.	Lessons learned booklet
UNDP-CO	Distribute to other UNDP-COs dealing with CBNRM	As possible	Distributed booklet

79. The FET notes four lessons learned from its own observations, and also includes four lessons copied directly from the 2011 PIR since these provide good examples of the experience that should be catalogued through a publication – see immediately above – and which deserve wider attention.

### ***FET Lessons Learned***

- **Do not overlook providing some stick while providing the carrots**

One of the interesting things the FET notes from this project is that while it has undertaken a lot of work to develop community groups, provide awareness-raising and support alternative livelihoods, and attempted to provide direct links between income generation and conservation activities, one other initiative of the MNET's has also proved highly significant although may easily be overlooked. That initiative was to increase the levels of fines for people caught illegally hunting or illegally fishing to seriously punitive levels – up to 150 times a monthly salary for a large fish plus 3-5 years in jail for repeat offences; up to 250 times a monthly salary

and 5 years in jail for illegally taking an argali sheep. The FET found that for many of the interviewees, the reason that hunting levels had dropped away so significantly was because the levels of fines simply made the risk too great; although undoubtedly the change in people's minds and the establishment of voluntary rangers also meant that the chances of getting caught had also significantly increased. Conservation depends on carrots and sticks – however, in project terms, the pendulum is often too far in favour of the carrot; provision of some stick should not be overlooked.

- **Good management can overcome a poorly-designed project. Poor management can sink a well-designed project.**

The more projects that the FET Leader sees, the more self-evident this lesson seems to be; indeed it may be axiomatic. This Project again demonstrates how a project with a poor management can be brought to its knees, and how the same project can be rescued when capable management is installed. While this has not been the only factor at play in this instance – moving the office to the regional centre and the poor human resource policies have also played a part – it is certainly the key one in the problems and the subsequent recovery.

- **Changing perceptions needs to be done at all levels if it is to be successful.**

Perhaps the most successful part of this Project has been its ability to change the mindset of the local people towards biodiversity and the sustainable use of natural resources. The social mobilisers, the trainings, and the support provided by the Local Project Offices have been excellent and have resulted in a significant, if largely immeasurable change. However, on its own, this change of mindset would be largely unsustainable. What has made it so has been the Project's intervention to provide a legal and policy framework to accommodate and acknowledge the local people's role in conservation and sustainable use of resources, and the work to change the minds of the local government officers to accept a paradigm shift in their role from protectors of state resources to facilitators of community use. Missing any one of these three would have left the other two compromised. The project has been an excellent example of the need for integration at all relevant levels.

- **Constant contact with communities is vital to community-based natural resource management projects.**

It may be a truism, but to be successful, community-based projects depend upon the trust and motivation of the local communities targeted. To achieve this, the quality and commitment of those employed as social mobilisers are key attributes. This Project has been blessed with particularly hard-working social mobilisers, but what the FET believes to be the most important factor has been the almost constant contact that they have had with the communities throughout the Project's lifetime. This appears to have been achieved by having a high ratio of social mobilisers to community groups so that each mobiliser has been responsible for providing support to an average of only four community groups (range 2-14). This has meant that mobilisers have been able to be in contact with each and every group around 2-3 times per month, and in turn have been supported by the Local Project Coordinator as and when necessary. This frequency of contact has undoubtedly enabled the Project to build high levels of trust which in turn has facilitated the change in people's mindset and behaviour related in the next lesson.

### ***Lessons learned from 2011 PIR***

- **Projects can make a very significant impact in changing people's mindset and behaviour.**

What could possibly be the most important lesson is that projects such as Altai Sayan can make a very significant impact in changing people's mindset and behaviour. The mid-term evaluation concluded that informing people and changing their minds had not been sufficiently achieved by the Project back in 2008. However, this seems to have changed very significantly now. The Project put behavioural and policy changes as the top priorities in recent years. Field visits in the past years have shown that stakeholders at the local level widely perceive this to be the most

important impact of the Project and that it has been a turning point for them. It shows that having long term interventions is a key factor success. It also shows that a package of different activities can achieve this result. The combined result of trainings, opening of information centres, working with museums, having social mobilisers placed in every site, working with local stakeholders on policy issues, placing signboards, and field monitoring visits all contributed a part to this end result.

- **Efforts to promote transboundary cooperation require strong commitment and long term investments**

An important lesson learned in the past reporting period is that efforts to promote transboundary cooperation require strong commitment and long-term investments. The Project supported the process for several years, but the key milestones were achieved only in the past two years with the signature of the transboundary management plan for theUvs region and the signature of a transboundary cooperation agreement with the Chinese local government that addresses biodiversity conservation and ecotourism as part of a wider agreement on transboundary cooperation. Meanwhile in eastern Mongolia where transboundary cooperation was promoted by a previous project, organisations from Russia, Mongolia and China cooperated regularly, while the governments gather every four years to address formal issues.

- **Environmental units can be a good means to strengthen coordination at the local level**

Another important lesson is that the environmental units can be a good means to strengthen coordination at the local level, as the Mongolian government has the intention to establish such units throughout the country. The units bring together local government staff such as land officers, agriculture officers, rangers, police and others to jointly work on environmental issues on a regular basis, often sharing one office. It is a concept that requires a small initial investment. The initiative emerged in Khuvsgul after which the Project decided to promote it in all 20 target sites. This shows that supporting local initiatives can be very rewarding, as the Ministry just passed a decree to establish environmental units in every soum of Mongolia.

- **Conservation can be cheap**

The establishment and extension of three national level PAs shows the existing commitment for conservation, and the possibilities to contribute to Mongolia's MDG 7 target to cover 30% of the country in PAs, without making enormous investments.

# ANNEX I: FINAL EVALUATION TERMS OF REFERENCE

## A. PROJECT TITLE AND REFERENCE NUMBER

Community Based Conservation of Biological Diversity in the Mountain Landscapes of Mongolia's Altai-Sayan Eco-Region -MON/04/G41  
Project ID PIMS 1929

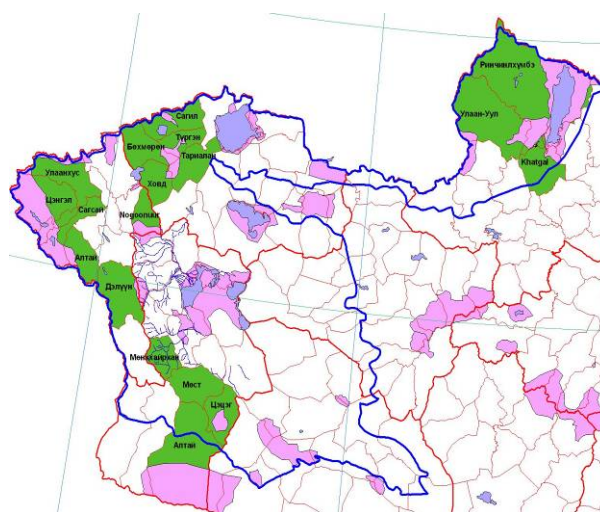
## B. PROJECT DESCRIPTION

<b>GEF Strategic Priority</b>	2 Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors
<b>Start Date:</b>	May 2005
<b>Project End Date:</b>	31 December 2011
<b>Management Arrangements:</b>	National Execution
<b>Executing Agency:</b>	Ministry of Nature, Environment and Tourism
<b>Budget:</b>	GEF US\$ 2,720,000
	The Netherlands Government US\$ 1,865,672
	UNDP US\$ 248,788
	<b>Total US\$ 4,834,460</b>

### Project Sites:

4 aimags, 20 soums

- Khovd Aimag (Must, Tsetseg, Altai, Monkhhairkhan soums)
- Bayan Ulgii (Tsengel, Altai, Ulaankhus, Deluun, Sagsai, Nagoonuur)
- Uvs Aimag (Turgen, Sagil, Khovd, Bukhmurun, Tarialan, Ulaangom)
- Khuvsgul Aimag (Tsagaannuur, Renchinhumbе, Ulaan Uul soums, Khatgal village)



### Project context

Biodiversity is shrinking at a worrying pace all around the world and Mongolia is no exception. The Altai Sayan eco-region consists of the Altai and Sayan Mountains (see map) and is designated a WWF-200 global eco-region; one of the key eco-regions to host remaining biodiversity hotspots in the world. It covers 4 countries, with the majority of the area in Russia, then Mongolia, Kazakhstan and China. Important species in this area include the snow leopard, argali wild sheep, ibex goat, musk deer and taimen fish. The area is sparsely populated and is the home of many minority





groups.

To improve conservation of the biodiversity in this area, Mongolia's Ministry of Nature, Environment and Tourism (MNET) is cooperating with UNDP on a community based conservation project in 4 Aimags (provinces); Khuvsgul, Khovd, Uvs and Bayan Olgii. There are 20 target sites. With project support, herders are forming groups, to work together on conservation but also to empower them and improve their economic situation. Many herders reside in or near the habitats of important species and pressure from grazing is one of the main threats to species in the area, next to hunting, logging, the development of mining and infrastructure, and climate change. Local governments and protected areas area also involved in the project and supported to improve coordination and planning and to work more with local communities. On the national level the project supports MNET to develop improved policies on community based conservation and to establish transboundary conservation agreements.

In 2008 the project Mid-Term evaluation recommended some substantive changes in the project logical framework and management structure. From 2009 these changes were implemented, resulting in a new logical framework with fewer outcomes, outputs and clear targets and indicators.

### **C. SCOPE OF WORK**

The evaluation is initiated and commissioned jointly by UNDP/Mongolia country office. According to the GEF M&E evaluation program, medium and full size project is required to undergo a final evaluation upon completion of implementation.

The evaluation will assess the progress and achievements against the project's logical framework. In addition, it will analyze adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, overall project management main findings and key lessons including examples of best practices for future projects in the country, region and GEF. The results of the evaluation will be reviewed by the GEF Evaluation Unit and will be subsequently incorporated in the annual Project Implementation Review (PIR) to complement findings of other M&E exercises.

The Final Evaluation document has to provide:

- An analysis of the attainment of global environmental objectives, outcomes/impacts, project objectives, and delivery and completion of project outputs/activities (based on indicators);
- Evaluation of project achievements according to GEF Project Review Criteria:
  1. Implementation approach;
  2. Country ownership/Driveness;
  3. Stakeholder participation/Public Involvement;
  4. Sustainability;
  5. Replication approach;
  6. Financial planning;
  7. Cost-effectiveness;
  8. Monitoring and evaluation.

In addition, the Final Evaluation should present and analyze main finding and key lessons, including examples of best practices for the future project in the country, region and GEF. Evaluation should also have an annex explaining any differences or disagreements between the findings of the evaluation, the Implementing Agency/Executing Agency or the recipient organization.

The Final Evaluation should include but not limited to ratings on the following criteria:

- a. Project effectiveness, (Outcomes/Achievements of objectives, or the extent to which the project's environmental and development objectives were achieved);
- b. Implementation Approach;
- c. Stakeholder Participation/Public Involvement;

- d. Cost-effectiveness;
- e. Sustainability; and
- f. Monitoring & Evaluation.

The ratings will be: Highly Satisfactory, Satisfactory, Marginally Satisfactory, Unsatisfactory, and N/A. See Annex I

In addition, the following specific questions need to be looked into:

- 7. Did the project achieve the targets as set out in the logical framework?
- 8. To which extent did the project contribute to the objective?
- 9. To which extent are the structures that have been supported by the project expected to endure after the project ends?
- 10. What was the progress made in policy development of Community Based Natural Resource Management and Landscape based conservation?
- 11. How did the attitude towards conservation change between the start and end of the project?
- 12. How did key species develop since the project started?

## **METHODOLOGY OF EVALUATION**

The methodology that will be used by the evaluation team should be presented in detail. It may include information on:

- Desk review of relevant documents (project document, Annual Project Reports, mid-term evaluation report, other relevant documents);
- Interviews
- Field visits
- Questionnaires
- Participatory techniques and other approaches for the gathering and analysis of data.
- Draft the report and make a presentation of findings and recommendations;
- Finalize the report with comments and inputs from various stakeholders;

## **D. EXPECTED OUTPUTS**

*The minimum requirements for the content of the final version of MTE report are given below:*

### *1. Executive summary*

- Brief description of project
- Context and purpose of the evaluation
- Main conclusions, recommendations and lessons learned

### *2. Introduction*

- Purpose of the evaluation
- Key issues addressed
- Methodology of the evaluation
- Structure of the evaluation

### 3. The project(s) and its development context

- Project start and its duration
- Problems that the project seek to address
- Immediate and development objectives of the project
- Main stakeholders
- Results expected

### 4. Findings and Conclusions

**In addition to a descriptive assessment, all criteria marked with (R) should be rated using the following divisions: Highly Satisfactory, Satisfactory, Marginally Satisfactory, Unsatisfactory**

#### 4.1. *Project Formulation*

- Conceptualization/Design (R). This should assess the approach used in design and an appreciation of the appropriateness of problem conceptualization and whether the selected intervention strategy addressed the root causes and principal threats in the project area. It should also include an assessment of the logical framework and whether the different project components and activities proposed to achieve the objective were appropriate, viable and responded to contextual institutional, legal and regulatory settings of the project. It should also assess the indicators defined for guiding implementation and measurement of achievement and whether lessons from other relevant projects (e.g., same focal area) were incorporated into project design.
- Country-ownership/Drivenness. Assess the extent to which the project idea/conceptualization had its origin within national, sectoral and development plans and focuses on national environment and development interests.
- Stakeholder participation (R) Assess information dissemination, consultation, and “stakeholder” participation in design stages.
- Assumption and Risks. Assess appropriateness of assumption and risks in the project formulation stage.
- Replication approach. Determine the ways in which lessons and experiences coming out of the project were/are to be replicated or scaled up in the design and implementation of other projects (this also related to actual practices undertaken during implementation).
- Other aspects to assess in the review of Project formulation approaches would be UNDP comparative advantage as IA for this project; the consideration of linkages between projects and other interventions within the sector and the definition of clear and appropriate management arrangements at the design stage.

#### 4.2. *Project Implementation*

- Implementation Approach (R). This should include assessments of the following aspects:
  - (i) The use of the logical framework as a management tool during implementation and any changes made to this as a response to changing conditions and/or feedback from M and E activities if required. (ii) Other elements that indicate adaptive management such as comprehensive and realistic work plans routinely developed that reflect adaptive management and/or; changes in management arrangements to enhance implementation.
  - (ii) The project's use/establishment of electronic information technologies to support implementation, participation and monitoring, as well as other project activities.
  - (iii) The general operational relationships between the institutions involved and others and how these relationships have contributed to effective implementation and achievement of project objectives.

- (iv) Technical capacities associated with the project and their role in project development, management and achievements.
- Risk Management
  - (i) Were problems/constraints, which impacted on successful delivery of the project identified at the project design stage and subsequently as part of the Mid Term Evaluation (MTE)?
  - (ii) Were there new threats/risks to project success that emerged during project implementation?
  - (iii) Were the risk appropriately identified and dealt with?
  - (iv) Were recommendations arising from the MTE addressed?
- Coordination Mechanisms
  - (i) Review to which extent the project cooperated with other organizations working in the same field and geographical locations.
  - (ii) To which extent did the project management and coordination structure ensure sustainability of the project results?
- Institutional arrangements
  - (i) How did the institutional arrangements of the project affect the project implementation of the project?
- Monitoring and evaluation (R). Including an assessment as to whether there has been adequate periodic oversight of activities during implementation to establish the extent to which inputs, work schedules, other required actions and outputs are proceeding according to plan; whether formal evaluations have been held and whether action has been taken on the results of this monitoring oversight and evaluation reports; whether there have been appropriate and effective adaptive management at all levels of the project implementation
- Stakeholder participation (R). This should include assessments of the mechanisms for information dissemination in project implementation and the extent of stakeholder participation in management, emphasizing the following:
  - (i) The production and dissemination of information generated by the project.
  - (ii) Local resource users and NGOs participation in project implementation and decision making and an analysis of the strengths and weaknesses of the approach adopted by the project in this arena.
  - (iii) The establishment of partnerships and collaborative relationships developed by the project with local, national and international entities and the effects they have had on project implementation.
  - (iv) Involvement of governmental institutions in project implementation, the extent of governmental support of the project.
- Financial Planning: Including an assessment of:
  - (i) The actual project cost by objectives, outputs, activities
  - (ii) The cost-effectiveness of achievements
  - (iii) Financial management (including disbursement issues)
  - (iv) Co-financing <sup>23</sup>
  - (v) Project disbursements
    - Provide an overview of actual spending against budget expectations
    - Critically analyse disbursements to determine if funds have been applied effectively and efficiently.

<sup>23</sup> Please see guidelines at the end of Annex 1 of these TORs for reporting of co-financing

- (vi) Budget procedures
  - Did the Project Document provide adequate guidance on how to allocate the budget?
  - Review of audits and any issues raised in audits and subsequent adjustments to accommodate audit recommendations;
  - Review the changes to fund allocations as a result of budget revisions and provide an opinion on the appropriateness and relevancy of such revisions
- Sustainability. Extent to which the benefits of the project will continue, within or outside the project domain, after it has come to an end. Relevant factors include for example: development of a sustainability strategy, establishment of financial and economic instruments and mechanisms, mainstreaming project objectives into the economy or community production activities.
- Execution and implementation modalities. This should consider the effectiveness of the UNDP counterpart and Project Co-ordination Unit participation in selection, recruitment, assignment of experts, consultants and national counterpart staff members and in the definition of tasks and responsibilities; quantity, quality and timeliness of inputs for the project with respect to execution responsibilities, enactment of necessary legislation and budgetary provisions and extent to which these may have affected implementation and sustainability of the Project; quality and timeliness of inputs by UNDP and GoC and other parties responsible for providing inputs to the project, and the extent to which this may have affected the smooth implementation of the project.

#### 4.3 Results

- Attainment of Outcomes/ Achievement of objectives (R): Including a description *and rating* of the extent to which the project's objectives (environmental and developmental) were achieved using Highly Satisfactory, Satisfactory, Marginally Satisfactory, and Unsatisfactory ratings. If the project did not establish a baseline (initial conditions), the evaluators should seek to determine it through the use of special methodologies so that achievements, results and impacts can be properly established.
- This section should also include reviews of the following:
  - Cost effectiveness (of new conservation approach):
  - Sustainability: Including an appreciation of the extent to which benefits continue, within or outside the project domain after GEF assistance/external assistance in this phase has come to an end.
  - Contribution to upgrading skills of the national staff

#### 5. Recommendations:

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

#### 6. Lessons learned

This should highlight the best and worst practices in addressing issues relating to relevance, performance and success.

#### 7. Evaluation report Annexes

- Evaluation TORs
- Itinerary
- List of persons interviewed
- Summary of field visits

- List of documents reviewed
- Questionnaire used and summary of results
- Comments by stakeholders (only in case of discrepancies with evaluation findings and conclusions)

## **E. INSTITUTIONAL ARRANGEMENT**

The consultant will be responsible for arranging the travel to and from Mongolia. UNDP CO in Mongolia take care of the visa, logistics arrangements, field visits and meeting programme. In addition, Project staff will accompany the mission to gather basic data, set up meetings, identify key individuals, assist with planning and logistics, and generally ensure that the evaluation is carried out smoothly.

## **F. DURATION OF THE WORK**

23 days, starting 18 August 2011

The assignment will follow the following working schedule

<b>Activity</b>	<b>Timeframe</b>
Desk review	18-20 August
Travel to Mongolia	22-24 Aug
Briefings for evaluators	25 Aug
Field visits, interviews, questionnaires,	26 Aug – 3 Sep
Presentation of preliminary results to UNDP and MNET	4-5 Sep
Return travel from Mongolia	6-7 September
Finalisation of final report from homebase and submission to UNDP	12-15 September
Incorporation of final comments	19-20 September
<b>Total</b>	<b>23 Days</b>

## **G: DUTY STATION**

Ulaanbaatar, Mongolia, with missions to the Altai and Sayan Mountain ranges

## **H. QUALIFICATIONS OF THE SUCCESSFUL CONTRACTOR (ADDITIONALLY, COMPETENCY IS REQUIRED FOR INDIVIDUAL CONTRACTOR)**

A team of two independent evaluators will conduct the evaluation. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The evaluation team will be composed of one International Team Leader and one National Expert. The evaluators should have prior experience in evaluating similar projects. Former cooperation with GEF is an advantage.

The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas:

- Recent experience with result-based management evaluation methodologies;
- Experience applying participatory monitoring approaches;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;

- (iv) Recent knowledge of the GEF Monitoring and Evaluation Policy;
- (v) Recent knowledge of UNDP's results-based evaluation policies and procedures
- (vi) Competence in Adaptive Management, as applied to capacity development natural resource management;
- (vii) Demonstrable analytical skills;
- (viii) Work experience in relevant areas
- (ix) Project evaluation experiences within United Nations system will be considered an asset;
- (x) Excellent English communication skills.

If selected, failure to make the above disclosures will be considered just grounds for immediate contract termination, without recompense. In such circumstances, all notes, reports and other documentation produced by the evaluator will be retained by UNDP.

## **I. SCOPE OF BID PRICE AND SCHEDULE OF PAYMENTS**

### **Payment schedule**

<b>1<sup>st</sup> instalment (50%)</b>	<b>2<sup>nd</sup> and final instalment (50%)</b>
<b>Upon approval of draft report</b>	<b>Upon completion of all services</b>

## **J. RECOMMENDED PRESENTATION OF PROPOSAL**

1. Introduction about the consultant/CV
2. Proposed methodology and workplan (max 1 page)
3. Financial proposal, including proposed fee and all other travel related costs (such as flight ticket, per diem, etc)..

## **K. CRITERIA FOR EVALUATION OF PROPOSAL**

1. The selection will be made based on the educational background and experience on similar assignments.
2. The price proposal will weigh as 30% of the total scoring

## ANNEX II : ITINERARY OF ACTIVITIES OF THE FINAL EVALUATION MISSION

\* = Member of Project Steering Committee.

Date		Activities
Thu	18 <sup>th</sup> August	All day: Document review.
Fri	19 <sup>th</sup> August	All day: Document review.
Sun	21 <sup>st</sup> August	am: 1. Meeting (Skype) with UNDP-GEF Regional Technical Advisor (Ms. Midori Paxton).
Mon	22 <sup>nd</sup> August	Lead evaluator travels to Mongolia.
Tue	23 <sup>rd</sup> August	am: 1. Lead evaluator arrives Ulaanbaatar. 2. Rest. 3. Lunch with UNDP Programme Officer (Mr. Onno van den Heuvel). pm: 1. Presentation by Project. 2. Meeting with Project Policy and Communications Officer (Ms. Solongo Tsevegmid). 3. Meeting with National Project Manager (Mrs. Chimeg Junai).
Wed	24 <sup>th</sup> August	am: 1. Meeting with National Project Director (Mr. Enkhbat Altangerel*). 2. Meeting with Vice-minister of Ministry of Nature, Environment and Tourism (Mr. Jargalsaikhan Choizantsan). 3. Continuation of meeting with National Project Director. 4. Meeting with Programme Coordinator of NGO “ <i>Nomadic Nature Conservation</i> ” (Ms. Tungalagtuya Khuukhenduu) and Evaluation and Monitoring Officer (Ms. Dolzodmaa Purevjav). 5. Meeting with Director, WWF Mongolia Programme Office (Mr. Chimed-Ochir Bazarsad*). pm: 1. Meeting with UNDP Programme Officer (Mr. Onno van den Heuvel). 2. Meeting with UNDP Finance Officer (Mr. Khurelbaatar Ganbat).
Thu	25 <sup>th</sup> August	am: 1. Fly to Ulaangom, Uvs Aimag. 2. Meeting with Local Project Coordinator, Uvs Aimag (Mr. Togtokhbayar Damiran). pm: 1. Meeting with Environmental and Land Management Specialist, Division of Policy Development, Uvs Aimag Governor’s Office (Mr. Otgoi Balzan). 2. Meeting with Head of Uvs Aimag Governor’s Office (Mr. Tsogtochir Damdin). 3. Meeting with Project Local Community Development Officer, (Mr. Baasanjav Jargal).
Fri	26 <sup>th</sup> August	am: 1. Meeting with Local Project Coordinator, Uvs Aimag (Mr. Togtokhbayar Damiran). 2. Meeting with Senior Officer of the Uvs Lake Basin Strictly Protected Area (Mr. Jamsran Rash). 3. Meeting with Biodiversity and Community Group Specialist, Department of Nature, Environment and Tourism, Uvs Aimag (Ms. Togoldor Miagmarjav) and Head of Forestry Division, Department of Nature, Environment and Tourism, Uvs Aimag (Ms. Enkhtuya Batbuyan). 4. Meeting with Communication and Tourism Officer of the Uvs Lake Basin Strictly Protected Area (Ms. Javjansuren Enkhtaiban) and look at Environmental Information Centre. pm: 1. Travel to Sharkhargai Herder Community (6 hours).
Sat	27 <sup>th</sup> August	am: 1. Meeting with Headman of Sharkhargai Herder Community (Mr. Bayanmunkh Dest). 2. Meeting with Sharkhargai Herder Community members (Mr. Batdelger Duger, Ms. Bayanmama Dist, Mr. Bayaraa Boogoo, Mr. Chuluunbaatar Auyrazana, Mr. Chuluunbaatar Damba, Mr. Enkhsaikhan Shudmar, Ms. Gereltsetseg Tseveg, Ms. Namjilmaa Tangaa, Ms. Narantsetseg Njamaa, Mr. Nuglaa Niamaa, Ms. Ogtontsetseg Dist, Ms. Oyumaa Damiran, Mr. Tognoo Tsahia, Ms. Tsevelmaa Duger). 3. Meeting with Project Social Mobiliser for Bokhmoron Soum (Mr. Batjargal Puntsag). pm: 1. Travel to Argali habitat and search for Argali sheep – no sightings ☹ (2 hours). 2. Travel to Tsaagan Tunhk (2 hours). 3. Meeting with Voluntary Ranger of Sharkhargai Herder Community (Mr. Davaaniyan Bayanmunkh). 4. Travel to Bokhmoron (2 hours).
Sun	28 <sup>th</sup> August	am: 1. Meeting with State Inspector and Head of Environment Unit, Bokhmoron Soum



Date		Activities
		(Mr. Bayanduuren Batsukh). 2. Meeting with Vice Governor of Bokhmoron Soum (Mr. Boldbaatar Khundaga). 3. Meeting with Head of Citizen's Representative's Parliament, Bokhmoron Soum (Mr. Aldarjavkhlan Biz). pm: 1. Travel to Ulaangom (5 hours).
Mon	29 <sup>th</sup> August	All day: 1. Travel to Tes (9 hours). 2. Meeting with Project Monitoring and Evaluation Officer (Mr. Badraa Mijiddorj).
Tue	30 <sup>th</sup> August	All day: 1. Travel to Moron, Khuvsgul Aimag (9 hours). 2. Meeting with Governor, Khuvsgul Aimag (Mr. Tserenjav Laagan*).
Wed	31 <sup>st</sup> August	am: 1. Meeting with Head of Development Policy Department, Khuvsgul Aimag (Mr. Gan-Ochir Khorchin). 2. Meeting with Chairman, Department of Nature, Environment and Tourism, Khuvsgul Aimag (Mr. Urtnasan Choijilav). 3. Meeting with Senior Officer, Department of Nature, Environment and Tourism, Khuvsgul Aimag (Mr. Dashdendev Khargan). pm: 1. Travel to Ulaan Uul (6.5 hours).
Thu	1 <sup>st</sup> September	am: 1. Meeting with Biology Teacher and Head of Blue Water Eco-club, Ulaan Uul Soum (Ms. Burmaa Tsagaan). 2. Meeting with members of Blue Water Eco-club, Ulaan Uul Soum (Mr. Batbayar Batsuur, Mr. Batbuyan Unenbat, Ms. Batkhishig Batkhuyag, Mr. Dashniam Derenbor, Ms. Niamtulga Bayandelger, Ms. Saranzaya Ochirbat). 3. Meeting with Head of Booshdog Community Group (Ms. Lhargvajav Davaagii). Drive to Tsagaannuur (3.5 hours). pm: 1. Meeting with Governor, Tsagaannuur Soum (Ms. Miagmarjav Halzankhuu). 2. Meeting with members of Environment Unit, Tsagaannuur (Mr. Battomor Shagdargav (Vice Governor and Head of Unit), Mr. Erdenejav Yadamdorg (State Inspector), Mr. Bayarkhuu Huuhen (Ranger), and Ms. Batmoron Batbianba (Land Planning Officer)). 3. Meeting with Project Social Mobiliser, Tsagaannuur Soum (Mr. Batkhuyag Bagvai). 4. Local Social Development and Empowerment Officer, Khuvsgul Aimag (Mr. Miagmarjalbuu Luvsansharav).
Fri	2 <sup>nd</sup> September	am: 1. Continuation of meeting with Local Social Development and Empowerment Officer, Khuvsgul Aimag (Mr. Miagmarjalbuu Luvsansharav). 2. Meeting with Local Project Coordinator, Khuvsgul Aimag (Mr. Tumursukh Jal). 3. Travel to Tengis Community (3 hours). pm: 1. Meeting with Tengis Community (Ms. Oyungerel Batmonkh, Mr. Tomor Tsenden, Mr. Monkhbat Batjii, Mr. Battomor Dash, Ms. Darjav Puntsag, Ms. Doljinsuren Sharkuu, Mr. Ariunbold Duujii, Mr. Mishig Jigjidsuren); Voluntary Rangers (Mr. Erdenebaatar Batchuluu, Mr. Gankhuyag Baatar, Mr. Biambadorj Naidan); and members of the Environment Unit, Rentshinlumb Soum (Ms. Bayasgalan Miagmar (State Inspector), Mr. Ganzorig Purevsuren (Land Manager), Mr. Rentshindavaa Samdan and Mr. Batsukh Dugarsuren (Rangers)). 2. Meeting with Project Social Mobiliser, Rentshinlumb Soum (Ms. Buvankhishig Dorj). 3. Meeting with Director of Administration Department and Head of Environment Unit, Rentshinlumb Soum (Mr. Nyam-Ochir Badarch). 4. Travel to Tsagaannuur (2.5 hours).
Sat	3 <sup>rd</sup> September	All day: 1. Travel to Murun, (12 hours). 2. Meeting with Local Project Coordinator, Khuvsgul Aimag (Mr. Tumursukh Jal).
Sun	4 <sup>th</sup> September	am: 1. Meeting with Environment Database Officer, Khuvsgul Aimag (Ms. Handarmaa Batjargal). 2. Fly to Ulaanbaatar. pm: 1. Report writing.
Mon	5 <sup>th</sup> September	am: 1. Meeting with Training and Community Development Officer (Ms. Ganchimeg Dorj). 2. Meeting with Biodiversity Conservation Officer (Munkhbat Tserendorj). 3. Meeting with National Project Manager (Mrs. Chimeg Junai). pm: 1. Meeting with UNDP Finance Officer (Mr. Khurelbaatar Ganbat). 2. Meeting with UNDP Programme Officer (Mr. Onno van den Heuvel). 3. De-briefing meeting.
Tue	6 <sup>th</sup> September	am: Lead evaluator departs Ulaanbaatar
Thu	6 <sup>th</sup> October	pm: 1. Meeting (Skype) with UNDP Head of Environment (Ms. Tungalag Ulambayar)

## ANNEX III : PERSONS INTERVIEWED

\* = PSC Member. (S) = skype interview. Alphabetic order.

### UNDP / GEF

Khurelbaatar Ganbat	Finance Officer
Midori Paxton	Regional Technical Advisor, Bangkok (S)
Onno van den Heuvel	Programme Officer, Environment
Thomas Eriksson	Deputy Resident Representative
Tungalag Ulambayar	Head of Environment Team (S)

### Project Staff

Baasanjav Jargal	Local Community Development Officer
Badraa Mijiddorj	Project Monitoring and Evaluation Officer
Batjargal Puntsag	Social Mobiliser for Bokhmoron Soum
Batkhuu Bagvai	Social Mobiliser, Tsagaannuur Soum
Buvankhishig Dorj	Social Mobiliser, Renchinlhumb Soum
Chimeg Junai	National Project Manager
Ganchimeg Dorj	Community Development Officer
Miagmarjalbuu Luvsansharav	Local Social Development and Empowerment Officer, Khuvsgul Aimag
Munkhbat Tserendorj	Biodiversity Conservation Officer
Solongo Tsevegmid	Project Policy and Communications Officer
Togtokhbayar Damiran	Local Project Coordinator, Uvs Aimag
Tumursukh Jal	Local Project Coordinator, Khuvsgul Aimag

### Ministry for Nature, Environment and Tourism

Enkhbat Altangerel *	Head of Ecologically Clean Technology and Science Division of the MNET and Project Director
Jargalsaikhan Choizantsan	Vice Minister, Ministry of Nature, Environment and Tourism
Jamsran Rash	Senior Officer of the Uvs Lake Basin Strictly Protected Area
Javjansuren Enkhtaiban	Communication and Tourism Officer of the Uvs Lake Basin Strictly Protected Area

### Local Government

Aldarjavkhlan Biz	Head of Citizen's Representative's Parliament, Bokhmoron Soum
Batmoron Batbianba	Land Planning Officer, Tsagaannuur Soum
Batsukh Dugarsuren	Ranger, Renchinlhumb Soum
Battomor Shagdargav	Vice Governor and Head of Environment Unit, Tsagaannuur Soum
Bayanduuren Batsukh	State Inspector and Head of Environment Unit, Bokhmoron Soum
Bayarkhuu Huuhen	Ranger, Tsagaannuur Soum
Bayasgalan Miagmar	State Inspector, Renchinlhumb Soum
Boldbaatar Khundaga	Vice Governor of Bokhmoron Soum
Dashdendev Khargan	Senior Officer, Department of Nature, Environment and Tourism, Khuvsgul Aimag
Enkhtuya Batbuyan	Head of Forestry Division, Department of Nature,

	Environment and Tourism, Uvs Aimag
Erdenejav Yadamdorg	State Inspector, Tsagaannuur Soum
Gan-Ochir Khorchin	Head of Development Policy Department, Khuvsgul Aimag
Ganzorig Purevsuren	Land Manager, Rentshinlumb Soum
Handarmaa Batjargal	Environment Database Officer, Khuvsgul Aimag
Miagmarjav Halzankhuu	Governor, Tsagaannuur Soum
Nyam-Ochir Badarch	Director of Administration Department and Head of Environment Unit, Rentshinlumb Soum
Otgoi Balzan	Environmental and Land Management Specialist, Division of Policy Development, Uvs Aimag
Renchindavaa Samdan	Ranger, Rentshinlumb Soum
Togoldor Miagmarjav	Biodiversity and Community Group Specialist, Department of Nature, Environment and Tourism, Uvs Aimag
Tserenjav Laagan *	Governor, Khuvsgul Aimag
Tsogtochir Damdin	Head of Uvs Aimag Governor's Office
Urtnasan Choijilav	Chairman, Department of Nature, Environment and Tourism, Khuvsgul Aimag

### Community Stakeholders and Beneficiaries

Ariunbold Duujii	Member of Tengis Fish Protection Community
Batbayar Batsuur	Member of Blue Water Eco-club, Ulaan Uul
Batbuyan Unenbat	Member of Blue Water Eco-club, Ulaan Uul
Batdelger Duger	Member of Sharkhargai Herder Community
Batkhashig Batkhuyag	Member of Blue Water Eco-club, Ulaan Uul
Battomor Dash	Member of Tengis Fish Protection Community
Bayanmama Dist	Member of Sharkhargai Herder Community
Bayanmonkh Dest	Headman of Sharkhargai Herder Community
Bayaraa Boogoo	Member of Sharkhargai Herder Community
Biambadorj Naidan	Voluntary Ranger for, and member of, Tengis Fish Protection Community
Burmaa Tsagaan	Biology Teacher and Head of Blue Water Eco-club, Ulaan Uul Soum
Chuluunbaatar Auyrazana	Member of Sharkhargai Herder Community
Chuluunbaatar Damba	Member of Sharkhargai Herder Community
Darjav Puntsag	Member of Tengis Fish Protection Community
Dashniam Derenbor	Member of Blue Water Eco-club, Ulaan Uul
Davaaniyan Bayanmunkh	Voluntary Ranger for, and member of, Sharkhargai Herder Community
Doljinsuren Sharkuu	Member of Tengis Fish Protection Community
Enkhsaikhan Shudmar	Member of Sharkhargai Herder Community
Erdenebaatar Batchuluu	Voluntary Ranger for, and member of, Tengis Fish Protection Community
Gankhuyag Baatar	Voluntary Ranger for, and member of, Tengis Fish Protection Community
Gereltsetseg Tseveg	Member of Sharkhargai Herder Community
Lhargvajav Davaagii	Head of Booshtog Community Group
Mishig Jigjidsuren	Member of Tengis Fish Protection Community
Monkhat Batjii	Member of Tengis Fish Protection Community
Namjilmaa Tangaa	Member of Sharkhargai Herder Community
Narantsetseg Njamaa	Member of Sharkhargai Herder Community
Niamtulga Bayandelger	Member of Blue Water Eco-club, Ulaan Uul
Nuglaa Niamaa	Member of Sharkhargai Herder Community
Otgontsetseg Dist	Member of Sharkhargai Herder Community

Oyumaa Damiran	Member of Sharkhargai Herder Community
Oyungerel Batmonkh	Member of Tengis Fish Protection Community
Saranzaya Ochirbat	Member of Blue Water Eco-club, Ulaan Uul
Tognoo Tsahia	Member of Sharkhargai Herder Community
Tomor Tseden	Member of Tengis Fish Protection Community
Tsevelmaa Duger	Member of Sharkhargai Herder Community

#### NGOs

Chimed-Ochir Bazarsad *	Director, WWF Mongolia Programme Office
Dolzodmaa Purevjav	Evaluation and Monitoring Officer, “ <i>Nomadic Nature Conservation</i> ”
Tungalagtuya Khuukhenduu	Programme Coordinator, “ <i>Nomadic Nature Conservation</i> ”

## ANNEX IV : SUMMARY EVALUATION OF PROJECT ACHIEVEMENTS BY OBJECTIVES AND OUTCOMES

The Project logframe in the Project Document was revised after the Mid-term Evaluation and the present evaluation matrix uses this version. The delivery status herein is taken largely from the 2011 PIR supplemented by information from the National Project Manager.

### KEY:

GREEN = Indicators show achievement successful at the end of the Project.

YELLOW = Indicators show achievement nearly successful at the end of the Project.

RED = Indicators not achieved at the end of Project

HATCHED COLOUR = estimate; situation either unclear or indicator inadequate to make a firm assessment against.

**Project Objective:** Conservation and sustainable use of globally significant mountain biological diversity in Mongolia's Altai Sayan eco-region.

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
	There are no Objective indicators											
1	<b>Outcome 1:</b> Governments policies, institutional arrangements and capacities are in place to mainstream landscape conservation into development plans in AS region	Formal adoption of revised institutional and policy documents for community based natural resource management	Policies and institutes have limitations to enhance community based natural resource management	2 key institutional/policy documents for community based natural resource management by the end of 2011are submitted for formal adoption.	<i>Herder Community Regulation</i> (Regulation #114, 2006 by MNET) was revised and approved by the Minister's Cabinet Session on 22 <sup>nd</sup> July 2010.  A final version of the draft amendment of the legislation on Community Based Natural Resource Management was officially submitted to the MNET.  Revised land use planning guidelines (incorporating increased attention for biodiversity conservation) developed and endorsed by decree of the Mongolian Government Implementing Agency of Land affairs, construction, geodesy and cartography (8 <sup>th</sup> November 2010).  Two Biodiversity Conservation Strategies were approved – that for the Altai by MNET in 2010; that for the Savan by the Khuvsqul aimag	Regulation #114 extends the term for community managed areas from 5 to 10 years and gives local governments official duties to support communities.          The guidelines were republished in 2011 and distributed to all target sites and nationwide.						

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
					<p>Citizen Representative Khural in 2011</p> <p>A trans-boundary cooperation agreement and a Joint Management plan of trans-boundary PA's of Uvs Nuur, Mongolia and Uvs Nuurskay Kotlovina, Russia were developed and formally adopted (2011).</p> <p>A transboundary cooperation agreement on ecotourism development and biodiversity conservation was signed between Khovd Aimag and Altai Province of Xinjian Uygur Autonomous Region (China)</p> <p>Khuvsgul Aimag Taimen conservation plan was developed and approved by the Aimag Citizen Representative Khural (2010).</p> <p>Bayan Ulgii aimag Argali sheep conservation subprogram was developed and approved by the aimag Citizen Representative Khural.</p>							
2		Demonstrated capacity improvements of institutes responsible for biodiversity conservation in the Altai Sayan eco-region		Demonstrated capacity improvements of institutes responsible for biodiversity conservation in the Altai Sayan eco-region measured by project final evaluation at the end of 2011.	<p>Capacity development score card applied to Environmental Units for first time in Dec 2009. Score was 16 points (Bayan Ulgii 14, Khovd 15.5, Khuvsgul 14.5, Uvs 20). The score is a composite of many factors, e.g. frequency of meetings, technical capacity, and formal status.</p> <p>Capacity development score card score is increased to 20.7 in Dec2010 (Bayan Ulgii 20, Khovd 21, Khuvsgul 19.8, Uvs 22).</p>	The target for this indicator is meaningless as worded. The scorecard information supplied suggests improvements in the capacity of the Environment Units, but they are not the only "institutes responsible for biodiversity conservation in the Altai Sayan eco-region" – e.g. PAs. METT scores are given under indicator #19; scores for community groups under #25 <sup>24</sup> .						

<sup>24</sup> **UNDP comment:** Specific toolkits were developed and used for all main stakeholders, including the communities, ecolubs, buffer zone councils, protected areas, local governments (environmental

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
3	Output 1.1: National policy and legal frameworks supportive of community resource management and equitable benefit sharing	Number of new or revised policy documents submitted to authorities	Current regulation on community based natural resource management shows gaps.	2 key institutional/policy documents for community based natural resource management by the end of 2011 are submitted for formal adoption.	A draft new <i>Law on Environmental Protection</i> was submitted to the MNET on 28th March 2011. This Law will be submitted to the autumn session of Parliament in October 2011. The project supported the MNET to improve its <i>Herder Community Regulation</i> . The amendment received Ministerial approval on 22nd July 2010.  Two policy documents were also completed and endorsed – the <i>Altai Mountains Conservation Strategy</i> was endorsed by the MNET and local authorities have integrated its targets into local development programmes and policies; and the <i>Sayan Region Biodiversity Conservation Strategy</i> was adopted by the local government in July 2011.							
4	1.1.1 Raise general awareness on importance of Altai Sayan and related laws and regulations through eco-clubs, community groups, “green parliamentary caucus” and the mass media	# of ecoclubs that have active memberships	There are no ecoclubs in the target soums	20 eco-clubs operational by the end of 2010.	By the end of June 2011, a total of 23 eco-clubs with totally 963 members are operating in project target soums. All eco-clubs have a workplan per academic year, which is approved by school administration and soum’s Environmental Unit. An Eco-club Consul has been established in Uvs aimag to provide advisory services for eco-clubs.	Apparently 20 eco-clubs now operate without the support of the Project. They are lead by school teachers and usually have a dedicated club house with information on biology and biodiversity. The Blue Water Eco-club visited by the FET in Ulaan Uul was outstanding.						
5		% of survey respondents that considers his/her awareness/perception on biodiversity conservation is significantly improved	Awareness on the importance of Biodiversity conservation and the Altai Sayan eco-region is limited.	Altai Sayan Eco-region population has significantly improved knowledge on biodiversity conservation compare to 2005.	There is widespread evidence that the main result of project has been to change people’s attitude towards conservation	Neither indicator nor target defines “significantly improved”. Sadly, although the FET is also of the opinion that the population’s attitude to, and awareness of,						

units) and it is considered that this was sufficient to measure several aspects of capacity improvements.

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
		between 2005-11				biodiversity conservation has changed, there is no firm evidential basis for this – no baseline figures for 2005, nor similar survey for 2011. The assessment has to take this into account – although the FET wishes this rating was higher.						
6		Number of information centres and units that is openly accessible to the local population in AS target sites	No information supply systems exist at the local level	10 information centres operational by the end of 2009.	Environmental information centres in 20 soums and in 2 aimag centres were established in 2010 and all were operational in 2011.	The FET saw 4 information centres – one in the aimag was a sophisticated tourist and local centre; two were located in Environment Units; one was built and developed by a community group. All were of a high standard and importantly appeared to be used by local people.						
7	1.1.2 Identify key legal and policy frameworks that need to be strengthened and implement actions to strengthen legal and policy framework through participatory manner	Number of new or revised policy documents adopted that improves the legal framework for community based conservation and biodiversity mainstreaming in Mongolia	The legal framework for Community based conservation is embedded in the Environment Protection Law, the Forest Law and Regulation 114 on CBNRM	National policy on community-based natural resource management reviewed by the end of 2009 and revised by the end of 2011	The project supported the MENT to improve its <i>Herder Community Regulation</i> . Under the amendment, herder communities will be issued certain rights to utilise natural resource sustainably and benefit from nature conservation. The amendment received Ministerial approval on 22 <sup>nd</sup> July 2010.	An excellent achievement. The amendment makes the following improvements: (1) The maximum contract term is increased from 5 to 10 years; (2) the minimum number of community members decreased from 20-30 to 10; (3) Communities are						



#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
						allowed to nominate a volunteer ranger from their members; (4) Membership is limited to the area of residence; and (5) Local authorities now have formal duties to assist communities in their formation.						
8		Number of landscape based conservation strategies that is formally adopted by stakeholders	There are no landscape based conservation strategies in Mongolia	The conservation strategy for the Altai Mountains is officially endorsed by MNET and each aimag government by the end of 2009	The Altai Mountains Conservation Strategy was endorsed by the MNET, and local authorities integrated its targets into local development programmes and policies. The Sayan Region Biodiversity Conservation Strategy was adopted by local Government, with an official launch on 29 <sup>th</sup> July 2011.	Two strategies achieved, if a little later than envisaged by the target.						
9		# of transboundary agreements formally signed by international parties for the Altai Sayan Region	No transboundary agreements exist for Western Mongolia	At least 2 trans-boundary conservation agreements are signed and under implementation by the end of 2009	Joint Management Plan has been developed for trans-boundary PA's of Uvs Nuur, (Mongolia) and Uvs Nuurskay Kotlovina, (Russia) under direct supervision and funding of the Project.. Inter-governmental agreement between Russia and Mongolia on establishing a trans-boundary protected area of Uvs Lake basin was endorsed in June 2011. The project supported the creation of a cooperation agreement on transboundary ecotourism development and biodiversity conservation between Khovd Aimag and Altai Province of Xinjian Uygur Autonomous Region (China).	Joint management plan covers 3-year joint monitoring programme for argali sheep and snow leopard.						
10	Output 1.2: Environmental units operating effectively under	Number of environmental units in place and effectively cooperating in target	No environmental coordination mechanism	Environmental units are used as an effective coordination	20 environmental units have enhanced capacity and possess basic information and equipment to carry out their duties. Each unit is actively supporting the formation of herder	No quantitative target set. Assumed to be the 20 target soums. Those seen by the FET appear						

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
	local governments in Altai Sayan region to mainstream biodiversity into local development plans and to deter environmental degradation.	soums by the end of 2011.	exists at the soum level.	mechanism at the soum level by the end of 2011.	groups.	to be acting as “an effective coordination mechanism at the soum level”.						
11	1.2.1 Establish Environmental units and institutionalize in all 20 target soums	Number of environmental units that have been formally established through government decree	Environmental units do not exist and coordination follows a sectoral structure	Environmental units established in all soums by the end of 2009	Environmental units in 20 target soums were established officially by resolution of respective aimag Governors. All environmental units comprise local rangers, inspectors and agricultural staff. This has ensured cohesion in conservation efforts and the adoption of the participatory approach has resulted in the inclusion of communities.	Target ambiguous – “all soums” is assumed to mean “all target soums”. It is unclear whether all were established by the end of 2009, but target generally met.						
12	1.2.2 Clarify rights and responsibilities, strengthen institutional set up, planning, resource mobilization, natural resources management and livelihood strengthening of community groups by EUs			Capacity needs assessment and development plan for Environmental Units completed by mid-2010.	Capacity development score card applied to Environmental Units for first time in Dec 2009. Score was 16 points (Bayan Ulgii 14, Khovd 15.5, Khuvsgul 14.5, Uvs 20). The score is a composite of many factors, e.g. frequency of meetings, technical capacity, and formal status. Result of project support Capacity development score card score is increased to 20.7 in Dec2010 (Bayan Ulgii 20, Khovd 21, Khuvsgul 19.8, Uvs 22).	Indicator would have been much stronger had it referred to the scorecard and set a quantitative target. As it is, the activities undertaken to improve the capacity scorecard imply that a capacity needs assessment had to have been completed; but not that there was any developmental plan. The scale of the increase is not known because there is no maximum possible score provided.						
13				Biodiversity considerations incorporated in 20	2-8 activities have been included in each of 20 soum governor's Action Plans and implementation of these is current in all 20	No independent confirmation possible.						

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
				soum plans by the end of 2009.	soums. The targets in the latest plans are based on the Altai and Sayan conservation strategies.							
14	1.2.3 Strengthen ability of environment units to partner with local government, protected areas management institutions, communities, groups and other support institutions		Environmental Units do not exist and its members do not cooperate on environmental issues in a structured manner	Environmental units have sufficient knowledge and capacity to cooperate on biodiversity conservation, and participatory natural resource management by the end of 2011.	Environmental Unit staff in the project soums received methodological advice and capacity building in respect of their activities, e.g. forming herder communities and nature conservation.	"Sufficient" in the target is undefined and as it stands will vary greatly across Environmental Units. Of those Environment Units seen during the FE, some appear to have capacity adequate to fulfil their role; others borderline or found slightly in need of further assistance.						
15			Effective pasture management schedules do not exist in the 20 target soums	Pasture management schedules in place in at least 1 target soum of each of 4 target aimags.	In all 20 target soums pasture management schedules were developed at the soum level and community level.	Monitoring of pasture improvement has not been carried out in a systematic manner in the target sites which detracts from their effectiveness.						
16			Land use plans in the 20 target soums do not address biodiversity conservation in significant manner	Land use plan integrating biodiversity conservation in place at least 1 target soum of each of 4 target aimags.	Biodiversity conservation issues were incorporated into the <i>Soum Land-use Management Plan Development Guidelines</i> , endorsed by decree of the Mongolian Government Implementing Agency of Land Affairs, Construction, Geodesy and Cartography. Land use plans in the target sites were revised accordingly and development of a model soum land-use plan in each aimag is underway in Tsengel (BU), Tarialan (Uvs), Tsetseg (Khovd) and Ulaan Uul (Khuvsgul) soums, to be ready mid-October	This information suggests that such plans have not yet been developed and their development status is unclear						
17			Habitat and population data on several key	Local governments work with communities and	Tsetseg, Must, Bukhmurun, Tsagaannuur Soums have developed soum development programmes with the support of scientists. The	While this list is extensive, only those surveys relating to fish						

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
			species is lacking to develop adequate conservation policies (including argali, wild reindeer, ibex, snow leopard, Taimen and musk deer)	scientists to carry out priority research for policy development in 8 areas by the end of 2011.	2011 PIR lists several research works were carried out including: 1. Taimen population and conservation in Tsagaannuur soum, Khuvsgul aimag. Based on the results, a local taimen conservation policy was developed involving communities. Illegal taimen fishing has now stopped in the area. 2. Darkhad white fish survey conducted in Tsagaan Nuur lake, Tsagaannuur Soum, Khuvsgul aimag. Darkhad white fish population increased as a result of the successful collaboration of herder communities and Local Government combating illegal fishing, which ceased the last 2 years. 3. Genetic research on argali population in Khoridal Saridag PA, Khuvsgul, defining population data, threats and genetic variety. 4. Ungulate surveys (with WWF and WB), which revealed in general stable or increasing populations. The project supported in particular a part of the survey on wild reindeer in Khuvsgul, the only area where this species is known to live in Mongolia. Unfortunately the survey did not generate any conclusive evidence that the species still exists in Mongolia. 5. Camera trap biodiversity inventory in Myangan Ugalzat PA, Khovd aimag.	appear to have influenced policy development directly relating to the wildlife concerned. Certainly such policy does not appear to have been developed for eight areas as per the target.						
18	Output 1.3: Capacity increased of PA authorities, PA Buffer zone council and soum environmental units in ASR to	UNDP Capacity Development Scorecard and METT Scores.	Environmental Units' CD scorecard baseline score is 3 points.	Improvement of CD & METT scores by 2011. CD score will reach 26 points.	Capacity development score card applied to Environmental Units for first time in Dec 2009. Score was 16 points (Bayan Ulgii 14, Khovd 15.5, Khuvsgul 14.5, Uvs 20). The score is a composite of many factors, e.g. frequency of meetings, technical capacity, and formal status. Result of project support Capacity development	The apparent baseline score does not appear to tally with the "first time" application of the scorecard in Dec 2009 which is "16 points". The average score of 20.7 in 2010 is well						

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU																											
	strengthen community conservation in buffer zone of PA and other relevant places.				score card score is increased to 20.7 in Dec2010 (Bayan Ulgii 20, Khovd 21, Khuvsgul 19.8, Uvs 22).	below the target of 26. The increase for the year 2009-2010 is 4.7 points. If a similar increase to Dec. 2011 is allowed for, this would provide an average score of 25.4; not quite the target, but close.																																	
19		WWF, The World Bank Management Effectiveness Tracking Tool (METT) scores for PA sites	METT baseline score in 2004 was: Uvs: 57 Bayan-Ulgii: 49 Khovd: 69	METT scores at each aimag will increase by ?? points	<table><tr><td></td><td>2009</td><td>2010</td><td>2011</td></tr><tr><td>Khuvsgul (inc. Khoridol Saridag)</td><td>43</td><td>53</td><td>56</td></tr><tr><td>Tsagaanshuvuut &amp; Turgan Uul</td><td>52</td><td>53</td><td>45</td></tr><tr><td>Khukh Serkh Nuruu</td><td></td><td>68</td><td>64</td></tr><tr><td>Mongol Altai Nuruu</td><td></td><td>51</td><td>54</td></tr><tr><td>Munkhkhairkhan</td><td>61</td><td>61</td><td>58</td></tr><tr><td>Myangan Ugalzat</td><td>36</td><td>75</td><td>56</td></tr></table>		2009	2010	2011	Khuvsgul (inc. Khoridol Saridag)	43	53	56	Tsagaanshuvuut & Turgan Uul	52	53	45	Khukh Serkh Nuruu		68	64	Mongol Altai Nuruu		51	54	Munkhkhairkhan	61	61	58	Myangan Ugalzat	36	75	56	End of project target remains not set! The scores show a mixed response with increases in some PAs decreases in others, and both in yet others. This is partially due to different people carrying out the assessment in different years, and to some qualified staff leaving some PAs – always a problem in capacity-building projects.					
	2009	2010	2011																																				
Khuvsgul (inc. Khoridol Saridag)	43	53	56																																				
Tsagaanshuvuut & Turgan Uul	52	53	45																																				
Khukh Serkh Nuruu		68	64																																				
Mongol Altai Nuruu		51	54																																				
Munkhkhairkhan	61	61	58																																				
Myangan Ugalzat	36	75	56																																				
20	1.3.1 Capacity needs assessment of PA authorities and soum environmental units to work with communities.		No assessment was carried out on capacities of Local Government	Capacity needs assessment completed by end of 2009.	No information available.																																		
21	1.3.2 Capacity building activities.		Protected areas have no structure to maintain	Biological data systems established in 5 PAs by the end of 2011.	The 6 target PAs have established databases using Biosan software (in cooperation with WWF). A web-based GIS database on biological diversity of AltaiSayan eco-region	The FET understands that WWF will take over the operation and use of this database since there																																	

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
			biodiversity data		has been developed ( <a href="http://gis.wwf.mn">http://gis.wwf.mn</a> ).	is no capacity at the MNET to do so ...yet? <sup>25</sup>						
22			PAs operate without management plans	Management plans developed in at least 3 PAs by the end of 2011 (including trans-boundary PAs).	<p>The Myangan Ugalzat NP management plan was developed and approved by MNET on 3rd November 2008.</p> <p>The Munkhkhairkhan NP and Khoridal Saridag NP management plans were developed and submitted to MNET for approval in April and May 2010 respectively.</p> <p>All three of these were revised and resubmitted to MNET in accordance with their extension (or in the case of Khoridol Saridag in accordance with the extension to the neighbouring Ulaantaiga NP).</p> <p>The Uvs Nuur PA management plan was approved by the MNET in 2011, and the Uvs Nuur Basin transboundary PA management plan has been approved by the respective ministries of Russia and Mongolia.</p> <p>Management plans for Khukh Serkh Nuruu NP and Mongol Altain Nuruu SPA plans are under development.</p>	An excellent achievement. Information received during the comments phase of the evaluation indicates that all six management plans have now been approved.						
23	1.3.3 Support PA administration offices, PA Buffer zone counsel and soum environmental units to outreach and assist in formation of community groups and support their		Local governments in 20 target sites do not actively support herder group formation	Government in all 20 soums has increased capacity to support community groups in establishing community partnerships and community based natural resource management.	All 20 soums created official Environment Units comprising local rangers, inspectors and agricultural staff.	This has ensured cohesion in conservation efforts and the adaption of participatory approach through the project training guaranteed inclusion of communities as well.						

<sup>25</sup> **UNDP comment:** The SPAN project team is working on this with MNET. As a start, one officer at MNET's PA department is trained on this on the job (the SPAN project is based in the Ministry close to the PA department).

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
	activities.											
24	<b>Outcome 2:</b> Reduction of threats to biodiversity from unsustainable use from local communities in the Altai Sayan region.	Number of communities that has successfully reduced threats through improved natural resource management	Project target areas are threatened by pasture degradation, overlap with habitat areas, mining, hunting, logging and climate change	Successful biodiversity monitoring systems combating threats are established at 20 target soums by the year 2011.	Approximately 513,500 ha are managed formally by 64 herder groups who are now able to benefit from natural resource improvements in their areas. They have formally adopted new practices, combining pasture, forest, and wildlife management. An additional 5.7 million ha have been declared as a Local Protection Area within Khuvsgul aimag in which no mining is allowed.  The FET understands that each of the 64 groups has a voluntary ranger involved in monitoring wildlife numbers.	The wording of this indicator is weak since a “ <i>monitoring system</i> ” cannot “ <i>combat threats</i> ”. A further 16 groups have been established and are in the process of registration.						
25	<u>Output 2.1:</u> Effective community groups are established and actively engage in natural resource management	Herder communities' capacity development scorecard.	Herder communities CD scorecard baseline score is 5 points.	Herder communities CD scorecard target score is 23 points.	Herder communities CD scorecard is 17 points in December 2010 (Bayan Ulgii 18, Khovd 18, Khuvsgul 15, Uvs 17).	Clearly a considerable increase in the capacity of the herder communities has taken place. It is due to be updated in October 2011 when it may show the target closer to being met.						
26	2.1.1 Establish community resource management groups in areas of high conservation values in AS landscape (outside of existing PA)			At least 12 herder groups are established and have adopted improved natural resource management practices.	64 herder communities are officially registered and issued with community certificates and have a contract on nature conservation activities with Soum Governor. From these, 20 model communities were selected according to criteria co-developed with local project staff. These model communities have developed their natural resource management plans, set up community funds, and been certified as herder conservation communities.  Also, as a result of the collaboration between communities and local government in certain parts of Tsagaan Nuur and Tengis Shishged rivers, the main resource areas of Taimen and Darkhad white fish, illegal fishing has ceased	An exceptional achievement.						



#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
					the last 2 years.							
27	2.1.2 Support establishment of community rights over natural resources outside protected areas.			At least 12 herder groups have adopted a community plan and set up a community fund and are officially registered.	58 herder communities have adopted a community plan and established community funds. The total amount in the funds of all communities combined has risen to around US\$ 17,000. By June 2011 the largest amounts in the community funds is MNT 2,800,000 in Khovd aimag, MNT 600,000 in both Bayan-Ulgii and Uvs aimags; while the lowest amounts are MNT 65,000 in Khovd aimag, MNT 180,000 in Bayan-Ulgii aimag, and MNT 240,000 in Uvs aimag.	An exceptional achievement.						
28	2.1.3 Strengthen ability of community groups to partner with local government (including environment units, buffer zone counsel, PA administration), other communities and other support institutions.			Herder groups in 20 target soums have developed a working relation with local government and increased knowledge on credit access.	64 herder communities cooperate with soum governors contracting on nature conservation activities.	The delivery status as given provides no information on increased levels to credit access as per the target (which does not appear to be linked to the activity). The actual indicator remains missing. However, the FET notes that in all the communities and soums visited, there was a high degree of cooperation evident and support from the soums to the communities.						
29	2.1.4. Support community group to monitor their organizational performance and natural resources quality and trends.	Number of community groups that actively monitors natural resources	Community groups do not exist and herders do not monitor wildlife in any of the target sites	By 2011, such monitoring is carried out by 10 community groups.	Large quantities of data have been gathered by the Project pertaining to community groups, e.g. see tables 6-10 in main text, but little of this relates to monitoring of natural resources. However, wildlife monitoring is carried out by more than 10 community groups, and the Project has completed community development scorecards for all community groups but the	This entire indicator is inadequate and confused. The indicator relates only to wildlife while the aim relates also to group organisational performance. Nowhere						



#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
					community groups themselves do not do this as per the End of Project Target.	is it defined how such monitoring is to take place and the methods to be used. While the FET acknowledges the considerable efforts of the Project to monitor various community group parameters, none of this adequately fulfils this indicator. The rating is more a liability of the weakness inherent in the indicator rather than a reflection of the Project's performance.						
30	<u>Output 2.2:</u> Priority community groups adopt improved natural resource management schedules and demonstrate as best practices.	% of community resource management groups increasing their resources through collective actions.	Community based natural resource management non-existent or at early stage.	CBNRM best practices in place in 20 soums by 2011.	64 herder communities are officially registered, were issued with community certificates and signed contracts with soum governors to carry out conservation activities.	Confused indicator – indicator says “%” but target is an absolute number. Furthermore, “best practice” remains undefined, and the delivery status makes no mention of beat practice, just the number of registered communities that have signed contracts for conservation activities; not necessarily the same thing as “best practice”. Nonetheless, the FET assumes the indicator to be met.						
31	2.2.1. Support establishment of forest community	Number of forest groups that is officially registered	No forest community groups exist in	At least 2 forest groups have successfully	About 20 communities work for Participatory Forestry Management in Khuvsgul (15 communities) and Uvs aimags (about 5	The FET has to assume that approved Forest Management Plans have						

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
	groups		the 20 target soums	improved forest management	communities). 4 participatory forestry communities have Management Plans, approved by Head of Nature Environment and Tourism Agency of Khuvsgul aimag.	actually led to improved forest management as per the indicator.						
32	2.2.2. Support alternative income generation initiatives among community groups		Income levels in community monitoring sheet	At least 10 groups have significantly improved their livelihoods.	See Table 10 in main text – “Better-off” households increased by 3.3% and “poor” households decreased by 1.8%; but see discussion in paragraph 48. Project supported 3 communities (in BU - Baijurek, Hovd - Ugalz, Khuvsgul - Tenggis) to establish wildlife agreement to collaborate with a hunting and tour company, who contributed about US\$ 700 to the community fund for their wildlife management services.	The indicator is vague – the term significantly improved being undefined. The figures reported in the delivery status appear modest. Those communities visited by the FET showed much higher increases (which could be considered as significant >10% improvements), but these may have been some of the best-performing communities. If so, the modest gain reported suggest that many communities may not be doing very well at all and this would be of concern.						
33				At least 3 groups have successfully established wildlife management systems.	60 herder families changed their movement accommodating free areas for wildlife.	“Group” in the indicator is not defined and a target of 3 seems incredibly low. Nonetheless, it would appear that the Project has been exceptionally successful with regard to this activity.						

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
34	2.2.3. Support initiatives for improving pasture land management.			At least 3 groups have adopted improved pasture management schedules	912 herder families (from 64 communities) have adopted improved pasture management schedules	"Group" in the indicator is not defined and a target of 3 seems incredibly low. Nonetheless, it would appear that the Project has been exceptionally successful with regard to this activity.						
35	2.2.4. Promote responsible mining best practices among community groups.			At least 30 groups have increased knowledge on responsible mining practices	The Project worked with the Asia Foundation in 2008 in providing training on responsible mining to 278 participants from the soums with the most intensive mining activities in all four target aimags. Participants learned about the official processes related to mining, how they could submit official objections, the costs and benefits of mining, and the relevant legislation. Training took four days at each location and each participant received two manuals containing information on community-based conservation and herder community formation, and on mine licensing and citizens' participation on mining; plus an environmental law compendium to aid them in the future and guide other members who could not attend.	The term "knowledge" is undefined and the indicator contains no means of measurement. However, some basic knowledge appears to have been imparted, along with reference materials.						
36	<b>Outcome 3:</b> Effective project management	All aspects of ASBP management and implementation are rated Satisfactory or above by independent evaluators.	Proposed management structure defined in ProDoc.	Completion of Annual Review by project (MEO) and Final Evaluation by independent evaluators	All aspects of the Project's management and implementation have been rated Satisfactory or above by the final evaluation team.	The target does not relate to the indicator in any way.						
37				MTE recommendations implemented by end of 2009	All recommendations of the mid-term evaluation were completed.	Moving the office and hiring staff and reviewing salary scales, etc. all done well, but re-drafting the logframe leaves a lot to be desired.						

#	Aim	Performance Indicator	Baseline	End of Project Target	Delivery Status at Final evaluation	Comments	HS	S	MS	MU	U	HU
38	3.1 All positions are filled and staff capacity building needs are adequately addressed.			Timely recruitment and capacity development of all staff, for project duration.	Since the Main Project Office moved back to Ulaanbaatar in 2008, the Project was able to recruit more qualified staff to build an effective team.	Project staff are of high quality and sufficient capacity to implement the Project successfully						
39	3.2 Efficient AS Project administration and financial management.			Project follows up on all national audit recommendations and UNDP-CO recommendations adequately.	According to annual audit control by Mongolian National Audit Office it was evaluated and concluded that the project implementation and financial expenditure has been carried out normally.	Apparently no recommendations required follow-up						
40	3.3 Project M&E system is in place for monitoring, information, reporting, evaluation and documentation of lessons learned.		M&E system is described in Project Document but a more elaborate plan is needed	All goals of the project monitoring and evaluation plan are met by the end of 2011.	Despite weaknesses in the M&E Plan it appears that most of the requirements have been achieved.	The target specifies "Goals" of the M&E Plan but the template used for its development does not specify "goals". Perhaps "Activities" would have been a better choice.						

## **ANNEX V: LIST OF PARTICIPANTS AT DEBRIEFING MEETING**

**Semi-formal de-briefing held on 5th September 2011**

Alphabetic order

Badraa Mijiddorj	Project Monitoring and Evaluation Officer
Chimeg Junai	National Project Manager
Erdenebat Eldev-Ochir	Member, Final evaluation Team
Onno van den Heuvel	Programme Officer, Environment
Phillip Edwards	Leader, Final evaluation Team
Thomas Eriksson	UNDP Deputy Resident Representative

## ANNEX VI: LIST OF PROJECT BOARD MEMBERS

Name	Title	Agency
<b>State government</b>		
Enkhbat Altangerel	Director of Ecologically Sound Technology and Science Department; National Project Director	Ministry of Nature, Environment and Tourism
Choi-Ish. Lhaasuren	Director of Strategic Planning and Policy Department	Ministry of Food, Agriculture and Light Industry
Namkhair Auysh	Director General of Strictly Protected Areas Management Department	Ministry of Nature, Environment and Tourism
<b>Elected Representatives</b>		
Jekei Khalidoldai	Member	State Parliament
Sedvaanchig Tserenbat	Member	State Parliament
Khaval Sakei	Governor	Bayan-Ulgii aimag
Nyamdavaa Gendenjav	Governor	Khovd aimag
Taschikher Erdenesuren	Governor	Uvs aimag
Tserenjav Laagan	Governor	Khuvsgul aimag
<b>Other</b>		
Chimed-Ochir Bazarsad	Director	WWF Programme Mongolia
Damdinsuren. Khuh	Director	Border Department, General Authority of Border Army
Tsend Sanj	Herder	Tarialan soum, Uvs aimag
Tungalag Ulambayar	Environmental Cluster Team Leader	UNDP Mongolia
Vanchinkhuu Jigmeddorj	Director	Khovd University

## ANNEX VII :HERDER COMMUNITIES' CAPACITY DEVELOPMENT SCORECARD

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
1. Capacity to conceptualize and formulate policies, legislations, strategies and programmes								
	Institutional	Herder communities have obtained legal status according to related laws and regulations (Civil law 481.1,"Nohorlol" Regulation 114)	<p>0 – Herders are not organized as a community</p> <p>1 – Herder community starts to share their hard work in a traditional way as neighbors ("hot ail"), no new initiatives;</p> <p>2 – Herder community work together and developed their norm and activity plan and has submitted related documents in order to get certificate of Nuhurlul and ready to make contract with soum Governor for conservation;</p> <p>3 – Herder community has obtained legal status according to related law (Civil law 481.1, Nuhurlul regulation 114) and well functioned;</p>	1	<p>Well functioned herder Communities have the followings:</p> <ul style="list-style-type: none"> <li>• Nuhurlul certificate</li> <li>• Contract with soum Governor</li> <li>• Community norm</li> <li>• Community fund</li> <li>• Conservation /work plan</li> </ul>	<p>Training of Community internal management, and community fund development.</p> <p>Social Mobilizers work closely with Communities to consult them on site regularly.</p>	2	
2. Capacity to implement policies, legislation, strategies and programmes								
	Institutional	Herder communities are effectively led.	<p>0 –Herder community has total lack of leadership; Community leader is not active and initiative, does not have leadership skills; And community has not selected council members</p> <p>1—Community leader provides some guidance to members and also community council members are weak;</p> <p>2 – Community leader and council members have reasonably strong leadership but there is still need to improve their management skills</p> <p>3 – Community members have</p>	0	The community has a strong leader and community council members.	Training of improving leadership and management skills of community leader and council members.	3	

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
			selected a right person as a leader and community council members and the community is strongly and effectively led.					
	Institutional	Herder community has effectively developed and implemented action/work plan/strategies.	<p>0 –Community does not have a work plan for conservation and livelihood improvement;</p> <p>1 –Community has developed a work plan in a non-participatory way, members do not know the plan and it still needs to be improved;</p> <p>2 –Community has developed a work plan in a participatory way but its implementation is insufficient;</p> <p>3 – Community has a good work plan and effectively implements the activities;</p>	0			2	
	Individual	Individuals have adequate knowledge of the community based natural resource management laws and policies.	<p>0 – Community members do not know laws and regulations related to CBNRM;</p> <p>1 – Community members have basic knowledge on laws and regulations related to CBNRM and do not have clear understanding;</p> <p>2 – Community members have adequate knowledge on laws and policies related to CBNRM but implementation is insufficient;</p> <p>3 – Community members have thorough knowledge on laws and regulations related to CBNRM and have daily practice of CBNRM.</p>	0		<p>Training of CBNRM stakeholders .</p> <p>Provide manuals and brochures of laws and regulations or CBNRM with participants in the trainings.</p>	2	



Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
	Individual	Individuals are appropriately skilled for implementing natural resource and conservation actions.	<p>0 – Community members lack skills and knowledge to conduct conservation activities (wildlife monitoring, seasonal pasture use, having community pasture norm etc);</p> <p>1 – Community members have basic knowledge and skills for biodiversity conservation activities but they need to improve their skills and knowledge;</p> <p>2 – Community members are reasonably skilled in conducting conservation activities (wildlife monitoring, seasonal pasture use, having community pasture norm, etc) but still need some improvement;</p> <p>3 – Community members are appropriately skilled and possess knowledge on conservation activities (wildlife monitoring, seasonal pasture use, having community pasture norm etc)</p>	1		<p>Trainings for wildlife monitoring, pasture management, CBNRM, etc.</p> <p>Brochures and manuals for biodiversity conservation are needed to be distributed.</p>	3	
3. Capacity to engage and build consensus among all stakeholders								
	Institutional	Herder communities can improve cooperation with related stakeholders in order to achieve the biodiversity conservation objectives.	<p>0 – Herder community does not cooperate with other organizations such as Environmental units, soum governments, NGOs, etc;</p> <p>1 – Herder community has started to cooperate with some stakeholders but there are still significant gaps and existing partnerships are ineffective;</p> <p>2 – Herder community has cooperated with some stakeholders but needs an improvement of efficiency and effectiveness for achieving the conservation objectives;</p> <p>3 – Herder community has good relation and cooperation with all</p>	1		Support herder communities to cooperate with the Environmental Units, soum governments, other project and programmes, NGO's and private institutions in their respective soums and nationwide.	3	

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
			related stakeholders such as Environmental Unit, local governments, other projects and programs which are implemented in the soum, other NGOs, private sectors, etc in order to enable achievement of objectives in an efficient and effective manner.					
4. Capacity to mobilize information and knowledge								
	Institutional	Herder groups have information for better conducting biodiversity conservation activities and community development practices.	<p>0 – Herder community does not have information access;</p> <p>1 – Herder community has some information access on biodiversity conservation and community development but it is limited;</p> <p>2 – Herder community has much good quality information that is readily available, but there are some gaps both in quality and quantity;</p> <p>3 – Herder community has adequate quantities of information with high quality up to date information for CBNRM and participatory monitoring and evaluation system is widely and easily available;</p>	1		<p>PRA training for Environmental Unit members means to generate info.</p> <p>Information centers have been established soumwise.</p> <p>Participatory Monitoring and Evaluation (PM&amp;E) system was developed in order to evaluate implementing activities of the community.</p>	2	
	Individual	Individuals within Herder communities work effectively together as a team	<p>0 – Community members do not share their work and work individually;</p> <p>1 – Community members work together in a limited way but this is rarely effective and functional;</p> <p>2 – Community members interact regularly and plan their actions together, but do not implement their activities in a participatory way;</p> <p>3 – Community members interact effectively and work functionally as a</p>	0	Community has regular meeting to evaluate their activities, develops a plan and makes decision together.		3	

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
			team.(The community develops work plan together, has regular community meeting, makes decision in a participatory way, has clear roles and responsibilities of the members, etc)					
5. Capacity to monitor, evaluate, report and learn								
	Institutional	Herder community has an effective internal mechanisms for planning, monitoring, evaluating, reporting and learning system	<p>0 – Herder community does not have mechanisms for planning, monitoring, evaluating, reporting or learning;</p> <p>1 – Herder community has some of basic mechanisms for planning, monitoring, evaluating, reporting and learning but they are still weak;</p> <p>2 – Herder community has reasonable mechanisms for planning, monitoring, evaluating, reporting and learning are taken in place but those are not as strong or comprehensive as they could be; They need to be improved;</p> <p>3 – Herder community has effective/strong internal mechanisms for planning, monitoring, evaluation, reporting and learning</p>	0	Herder community regularly reports to EU and Social Mobilizer in the soum.	<p>Social mobilizers support and consult how to establish MER system within the community.</p> <p>Provide trainings of MER system for communities.</p>	3	

## ANNEX VIII : BUFFER ZONE COUNCILS' CAPACITY DEVELOPMENT SCORECARD

Name of soum: .....

Name of respective protected area: .....

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
1. Capacity to conceptualize and formulate policies, legislations, strategies and programmes								
	Institutional	Bufferzone council is established according to the law	0 – BZ council is not established 1 – BZC is established but not operational in terms of regular works planned in its management plan 2 – BZC is working but needs to be improved 3 - BZC is effectively working	0	BZCs are established and working effectively			
	Institutional	Buffer-zone council is effectively incorporating biodiversity conservation into buffer-zone management plans.	0 - BDC is not considered in the BZ management plans; 1 – BDC is referred to but no means to adequately conserve included in the BZ management plans; 2 – BDC is given significant considerations in the plans but implementation needs improvement; 3 – BD conservations is among the key priorities in the BZ management plans and implementation is adequate	0	BZC are participating to develop local plans with adequate considerations to BD conservation.	The regular Bufferzone Council meetings are organized to implement management plans and other priorities for respective PAs.		
2. Capacity to implement policies, legislation, strategies and programmes								

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
	Institutional	Roles of bufferzone council members are clearly defined.	0 –No members are allocated for specific tasks that are allocated to CBNRM according to the management plan; 1 –Few members have tasks related to BZ management plan but the roles are not specified for all members of BZC; 2 –All BZC members have specific roles but only limited number of members carry out these duties; 3 – All members have clear duties and are able to support communities and Protected Areas.	0			3	
	Institutional	BZC have created its fund in which financial sources to implement the management plan is accumulated	0 – no fund is established 1 – fund is established but no financial sources are available/or no permanent sources are available/or lack of sources 2 – fund is established but the sources are not properly managed by the council 3 – fund has enough sources and it is properly managed for implementation of BZ management plan					
	Institutional	BZC has regularly updated clear management plan	0 -- BZC have no management plan; 1 -- BZC have management plan but limited in scope/or not approved; 2 -- BZC have management plan but there are shortcomings in the implementation; 3 - BZC has a regularly updated, participatorially prepared, comprehensive management plan with satisfactory implementation	0			3	
	Individual	Individuals have adequate knowledge of the protected areas and its bufferzone and community based natural resource management laws and policies.	0 -- No knowledge of CBNRM; 1 – Basic knowledge but not adequate to support local communities conservation efforts; 2 –Adequate knowledge of CBNRM to give sporadic support to the community groups; 3 – Thorough knowledge of CBNRM and usage to day to day activities.	0		Provide trainings for BZC or CBNRM and monitoring system is introduced.	2	

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
	Individual	Individuals are appropriately skilled for their jobs	0 -- Skills of individuals do not match job requirements; 1 -- Individuals have some or poor skills for their jobs; 2 -- Individuals are reasonably skilled but could further improve for optimum match with job requirement; 3 -- Individuals are appropriately skilled for their jobs	1	Members of BZC are trained	Training of members and protected area administration	3	
3. Capacity to engage and build consensus among all stakeholders								
	Institutional	BZC regularly involve community and other stakeholders for their planning and policies.	0 --BZC does not involve stakeholders; 1 --Stakeholders are involved on ad hoc basis; 2 --Stakeholders are involved regularly but their interests are not sufficiently reflected in the planning; 3 -- Stakeholders are the part of the planning process.	0			2	
4. Capacity to mobilize information and knowledge								
	Institutional	BZC have the information needed to do their work	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality and of limited usefulness and difficult to access; 2 -- Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity; 3 -- Adequate quantities of high quality up to date information for BZC planning, management and monitoring is widely and easily available	1		Establishment of information sharing and coordination mechanisms. Baseline studies of ecological and socio-economic parameters. Establishment of GIS.	3	
	Individual	Individuals working with BZC work effectively together as a team	0 -- Individuals work in isolation and don't interact; 1 -- Individuals interact in limited way and sometimes in teams but this is rarely effective and functional; 2 -- Individuals interact regularly and form teams, but this is not always fully effective or functional; 3 -- Individuals interact effectively	0			3	

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
			and form functional teams					
5. Capacity to monitor, evaluate, report and learn								
	Institutional	BZC has effective internal mechanisms for monitoring, evaluation, reporting and learning	0 -- There are no mechanisms for monitoring, evaluation, reporting or learning; 1 -- There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak; 2 -- Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be; 3 -- BZC has effective internal mechanisms for monitoring, evaluation, reporting and learning	1	Internal reporting, monitoring and evaluation system developed and applied at state.	Staff training	3	
	Individual	Individuals are adaptive and continue to learn	0 -- There is no measurement of performance or adaptive feedback; 1 -- Performance is irregularly and poorly measured and there is little use of feedback; 2 -- There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be; 3 -- Performance is effectively measured and adaptive feedback utilized	0			2	

## ANNEX IX : ENVIRONMENTAL UNITS CAPACITY DEVELOPMENT SCORECARD (BIODIVERSITY)

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
1. Capacity to conceptualize and formulate policies, legislations, strategies and programmes								
	Institutional	Environmental units are effectively incorporating biodiversity conservation into local development plans.	0 – BD is not considered in the local development plans; 1 – BD is referred to but no means to adequately conserve included in the local development plans; 2 – BD is given significant considerations in the plans but implementation needs improvement; 3 – BD conservations is among the key priorities in the local development plans and implementation is adequate	0	Environmental units are developing local plans with adequate considerations to BD conservation.	Consultation meetings are organized involving communities to identify priorities for biodiversity conservation.	2	Environmental units are a new concept that is being piloted by the project.
2. Capacity to implement policies, legislation, strategies and programmes								
	Institutional	Roles of environmental unit staff are clearly defined.	0 –No staff are allocated for specific tasks that are allocated to CBNRM; 1 –Few staff have tasks related to CBNRM but the roles are not specified for all members of Environmental units; 2 –All environmental unit staff have specific roles but only limited number of staff carry out these duties; 3 – All staff clear duties and are able to support communities.	0			3	
	Institutional	Environmental units have regularly updated clear work plans	0 -- EU have no work plans; 1 -- Some EUs have work plans but limited in scope; 2 -- Most EUs have work plans but there are shortcomings in the implementation; 3 -- Every EU has a regularly updated, participatorially prepared, comprehensive work plan	0			3	



Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
	Individual	Individuals have adequate knowledge of the community based natural resource management laws and policies.	0 -- No knowledge of CBNRM; 1 -- Basic knowledge but not adequate to support local communities conservation efforts; 2 -- Adequate knowledge of CBNRM to give sporadic support to the community groups; 3 -- Thorough knowledge of CBNRM and usage to day to day activities.	0		Provide trainings for environmental unit staff on CBNRM and monitoring system is introduced.	2	
	Individual	Individuals are appropriately skilled for their jobs	0 -- Skills of individuals do not match job requirements; 1 -- Individuals have some or poor skills for their jobs; 2 -- Individuals are reasonably skilled but could further improve for optimum match with job requirement; 3 -- Individuals are appropriately skilled for their jobs	1	Staff of Environmental units trained	Training of staff and communities	3	
3. Capacity to engage and build consensus among all stakeholders								
	Institutional	Environmental units regularly involve community and other stakeholders for their planning and policies.	0 -- EU does not involve stakeholders; 1 -- Stakeholders are involved on ad hoc basis; 2 -- Stakeholders are involved regularly but their interests are not sufficiently reflected in the planning; 3 -- Stakeholders are the part of the planning process.	0			2	
4. Capacity to mobilize information and knowledge								
	Institutional	Environmental units have the information needed to do their work	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality and of limited usefulness and difficult to access; 2 -- Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity; 3 -- Adequate quantities of high quality up to date information for environmental units planning, management and monitoring is widely and easily available	1		Establishment of information sharing and coordination mechanisms. Baseline studies on ecological and socio-economic parameters. Establishment of GIS.	3	

Strategic Area of Support	Target for capacity development	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Expected Outputs	Program Activities	Target	Evaluative Comments
	Individual	Individuals working with EUs work effectively together as a team	0 -- Individuals work in isolation and don't interact; 1 -- Individuals interact in limited way and sometimes in teams but this is rarely effective and functional; 2 -- Individuals interact regularly and form teams, but this is not always fully effective or functional; 3 -- Individuals interact effectively and form functional teams	0			3	
5. Capacity to monitor, evaluate, report and learn								
	Institutional	EUs have effective internal mechanisms for monitoring, evaluation, reporting and learning	0 -- There are no mechanisms for monitoring, evaluation, reporting or learning; 1 -- There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak; 2 -- Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be; 3 -- EUs have effective internal mechanisms for monitoring, evaluation, reporting and learning	1	Internal reporting, monitoring and evaluation system developed and applied at aimag level.	Staff training	3	
	Individual	Individuals are adaptive and continue to learn	0 -- There is no measurement of performance or adaptive feedback; 1 -- Performance is irregularly and poorly measured and there is little use of feedback; 2 -- There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be; 3 -- Performance is effectively measured and adaptive feedback utilized	0			2	

## ANNEX X: LOCATION OF NEW AND/OR EXTENDED PROTECTED AREAS SUPPORTED BY THE PROJECT

