

# Terminal Evaluation

## UNDP/GEF

### Integrated Natural Resource Management in the Baikal Basin Transboundary Ecosystem Mongolia and Russian Federation

UNDP PIMS: 4347, Atlas Project ID: 00076781

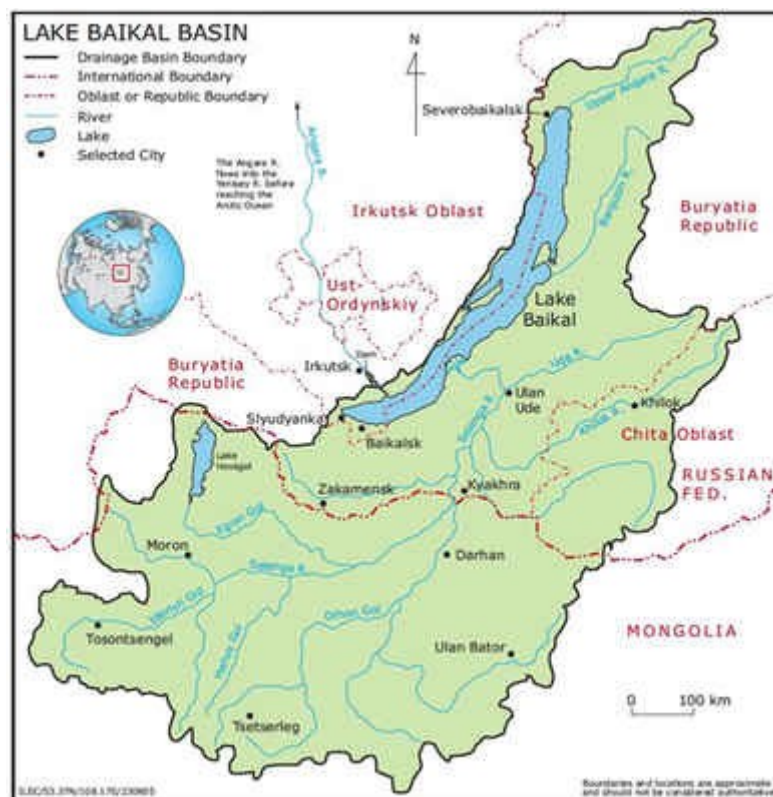
GEF Project ID: 4029 (Focal Areas: International Water and Biodiversity)

Executing Partners:

UNOPS

Mongolia: Federal Ministry of Environment and Green Development

Russian Federation: Federal Ministry of Natural Resources and Environment



October 2015

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## Acronyms and Abbreviation

BAT	Best Available Technology
BD	Biodiversity
BEP	Best Environmental Practice
BIC	Baikal Information Centre
CC	Climate Change
CEO	Chief Executive Officer (GEF)
CIS	Commonwealth of Independent States
CO	Country Office
CSO	Civil Society Organisation
EIA	Environmental Impact Assessment
EU	European Union
GEF	Global Environment Facility
GIZ	Gesellschaft für Internationale Zusammenarbeit
IW	International Waters
IWRM	Integrated Water Resources Management
M&E	Monitoring and Evaluation
MEGD	Ministry of Environment and Green Development of Mongolia
MNR	Ministry of Natural Resources and Environment of the Russian Federation
MTE	Mid-Term Evaluation
NGO	Non-Governmental Organisation
PIR	Project Implementation Review
PMU	Project Management Unit
PSC	Project Steering Committee
RBEC	Regional Bureau for Europe and the CIS
ROtI	Review of Outcomes to Impacts
RTA	Regional Technical Advisor
SAP	Strategic Action Programme
SLM	Sustainable Land Management
SMART	Specific, Measurable, Achievable, Relevant, Testable (with respect to indicators)
STAR	System for Transparent Allocation of Resources
TACIS	Technical Aid to the CIS
TDA	Transboundary Diagnostic Analysis
TE	Terminal Evaluation
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNECE	United Nations Economic Commission for Europe
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNOPS	United Nations Office of Project Services
USD	United States Dollar
VAT	Value Added Tax

## Executive Summary

### Project Summary Data

Project Title:	Integrated Natural Resource Management in the Baikal Basin Transboundary Ecosystem (Baikal Project)			
GEF Project ID	4029		<u>at endorsement</u> (Million US\$)	<u>at completion</u> (Million US\$)
UNDP Project ID	4347	GEF financing:	3.898	3.898
Country	Russian Federation, Mongolia	IA/EA own:		
Region	Europe and CIS	Government:		
Focal Area	International Waters, Biodiversity	Other:		
FA Objectives, (OP/SP):	Strategic policy and planning framework, Institutional Strengthening for IWRM, Demonstrating methods and approaches for water quality and biodiversity mainstreaming	Total co-financing:	49.3	55.3
Executing Agency:	UNOPS	Total Project Costs	53.2	59.2
Other Partners involved:	UNESCO, Ministry of Natural Resources and Environment of the Russian Federation and Ministry of Environment and Green Economy of Mongolia	ProDoc Signature (date project began)		20 June 2011
		Operational Closing Date:	Proposed: 31 December 2015	Actual:

Lake Baikal and its transboundary basin including Lake Hovsgol represent an unparalleled global benefit in terms of international waters and biodiversity values. While past and current efforts to protect and sustainably utilise the environment and its natural resources are impressive, they are insufficient to the task of addressing the threats to the health of the Baikal Basin's interconnected aquatic ecosystems. These threats include: climate change, pollution and sedimentation, nutrient loading, and habitat destruction.

The GEF has funded a project '*Integrated Natural Resource Management in the Baikal Basin Transboundary Ecosystem*' implemented through UNDP and executed by UNOPS in partnership with the Ministry of Natural Resources and Environment of the Russian Federation and the Ministry of Environment and Green Development of Mongolia. The overall project objective was *to spearhead integrated natural resource management of Baikal Lake Basin and Hövsgöl Lake ensuring ecosystem resilience, reduced water quality threats in the context of sustainable economic development*. This objective was to be achieved through the analysis of the problems impacting the basin and the

development of a Strategic Action Programme to address these problems affecting the water resources and the biodiversity. In addition actions to support the joint Commission and pilots to test appropriate approaches for inclusion in the Strategic Action Programme were conducted.

A Terminal Evaluation of the UNDP/GEF project has been undertaken, consistent with the expectations of both organisations. The purpose is to enable the countries (Mongolia and the Russian Federation) and the GEF Agency to assess the achievement of the project against the expectations of the Project Document, and to draw lessons that can improve the sustainability of the benefits from this project and aid UNDP programming.

The Terminal Evaluation concludes that the UNDP/GEF Lake Baikal Project is very relevant locally, national, regionally and globally supports the protection and conservation of this UNESCO world heritage site containing 20% of the global surface freshwater.

The detailed joint transboundary diagnostic analysis highlighted the main transboundary threats to the region and marked an important collaborative milestone involving institutes and experts from both Mongolia and the Russian Federation. This collaboration continued to the successful conclusion of the development of the Strategic Action Programme that detailed the recommendations actions needed to address the transboundary problems. Formal signing of the Strategic Action Programme by the Vice Ministers for Mongolia and the Russian Federation is expected at the next meeting of Plenipotentiaries between the two countries<sup>1</sup>.

The project has successfully supported the work of the transboundary Joint Commission (although an expected project target of updating the operation of the Joint Commission was not achieved) and the project has delivered valuable pollution reduction and biodiversity conservation results from pilot actions in the Russian Federation that have provided results for future replication in Mongolia. Communities and NGOs have been engaged through the development of river basin management plans and support to both the ecotourism pilots and through co-financed actions. However there is still much more work to be done to address emerging issues (invasive species, fires, water resources and use, pollution, etc.) within the basin in the future.

The project has been highly successful in both the effectiveness of project delivery and the efficiency in the utilisation of financial resources. The role and actions of the Project Management Unit is acknowledged for this success. The Terminal Evaluation can also report that all stakeholders met within the countries praised the strengths of the Project Management Unit in general, and the technical capability of the experts and the Project Manager in particular for their flexibility and responsiveness. There was a clear emphasis by the Project Management Unit on project results and the delivery of this by an excellent team was enabled and empowered by the Project Manager. The project has complied with the reporting requirements.

Overall the Terminal Evaluation rated this project as **Highly Successful**. The key evaluation criteria of relevance, effectiveness, efficiency, sustainability and impact are rated by the terminal evaluator as:

**Relevance:** The UNDP/GEF lake Baikal Project is considered by this Terminal Evaluation to be highly **Relevant** to the multiple stakeholders within the region and to UNDP/GEF and other international stakeholders.

**Effectiveness:** In the four years since the effective start of this project, the PMU has successfully implemented close to 100 activities and taken part in over 120 events. The project has been implemented according to the PSC agreed time-line and budget. There have been no significant

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<sup>1</sup> The TE understands that the meeting approved the SAP at the end of October 2015 in Ulanbator

issues that necessitated modifications to the work programme. The TE rates the effectiveness of this project's execution as **Highly Satisfactory**.

**Efficiency:** The project has efficiently executed the project as planned and disbursed the budget as agreed with the PSC. The TE rates the efficiency of this project as **Highly Satisfactory**.

**Sustainability:** The Terminal Evaluation identified differences (associated with economic conditions) between the sustainability of actions between Mongolia and the Russian Federation. However the TE rates the overall sustainability of the project as **Moderately Likely**.

**Impact:** There have been clear beneficial environmental impacts within the lifetime of the this UNDP/GEF Lake Baikal project. In addition the Terminal Evaluator is confident that the future implementation of the Strategic Action Programme will lead to additional ecosystem impacts. The TE rates the impact of this project as **Significant** (or **Highly Likely**).

In summary the conclusion of all interviewed in the countries was that this project had delivered as expected to a high quality, consistent with national priorities and in partnership with the appropriate national, regional and local authorities. The countries and UNDP should jointly develop a Strategic Action Programme implementation project to maintain the significant achievements of this project and move to ensure the appropriate water management and biodiversity conservation to protect the transboundary Lake Baikal Basin

The Terminal Evaluation's recommendations are focused on a follow-on project that will assist with Strategic Action Programme implementation. The Terminal Evaluation recommends that a new project is developed by Mongolia, the Russian Federation and UNDP that includes:

- Has a focus on Strategic Action Programme implementation addressing GEF multi focal areas of relevance to the River Selenga/Lake Baikal basin as a regional project.
- To ensure that the title and objectives of the project reflect the wider basin, for example the River Selenga/Lake Baikal The title would help mitigate any concerns that the project is perceived as a 'Russian' project.
- The Strategic Action Programme implementation should assist in developing concrete action plans in the basin to assist with direct actions that could be implemented at different levels and to ensure that the interests of other ministries (specifically, economy, industry, agriculture, tourism, power, etc.) are addressed and reflected in implementation action plans.
- To increase the focus of the project on issues that are affecting Mongolia through replication /upscaling of practical demonstrations tested under this project (e.g. mining) and to investigate issues of specific concern to the Selenga River Basin in Mongolia (e.g. land use and over grazing).
- To further engage local communities and Non-Governmental Organisations to develop local action plans including: river basin management plans, local biodiversity conservation plans and to promote advocacy and raise awareness.
- To further explore options to enhance the working of the transboundary Joint Commission through to meet the needs of the Strategic Action Programme and the management of resources, building on the legal assessment conducted by the current project;



The project's activities and execution have generated specific lessons and experiences that would be of benefit to similar projects. These have included:

**Close co-operation with governments and support from all levels of society:** The project had frequent communications at many levels throughout the operation of the project that ensure both engagement and awareness of the progress of the project. More importantly this close involvement ensured that the direction of the SAP remained closely aligned with national policies and priorities. In addition through the pilot projects in the Russian Federation and the development of river basin management plans in Mongolia links were established with local communities and NGOs. This was complemented through multiple communication and awareness raising exercises that address needs of schools to institutes. The project has been a good example of 'community to cabinet' engagement.

**The need to effectively balance project design between countries to ensure all countries feel fully involved in regional projects:** This regional project has suffered in Mongolia in being perceived as a 'Russian' led initiative as a result of the UNDP and PMU lead offices which were exacerbated by the pilot activities (financed from the GEF BD focal area STAR allocation to the Russian Federation) being only based in the Russian Federation. This perception was compounded due to a lack of distinction in Component 3 that the pilots would only be implemented in the Russian Federation. The lesson from this project is the importance of ensuring that all countries benefit *directly* from practical on-the-ground actions to ensure additional benefits from both community engagement and government 'ownership' of the regional project pilot actions.

**Using adaptive management approaches to respond to stakeholder requests for new or revised outputs:** The UNDP/GEF Lake Baikal project has received suggestions beyond the agreed Project Document for the production of high quality videos and the production of the Ecological Atlas. Following appropriate PSC authorisation resources were made available for the production of these highly-effective outputs. These have strengthened the awareness raising function of the project aimed at multiple audiences and provided an important resource for future scientific research and facilitating environmental protection strategy development and management.

**Strong links with GEF IW:LEARN to capitalise on the use of new approaches for presenting information:** The UNDP/GEF Lake Baikal project was one of two IW projects that took these tools and have utilised them effectively within the 'Baikal Information Centre' (BIC) to enable researchers, policy makers and other interested stakeholders to access the wealth of information that has been gathered by the project through the open-source GeoNode package. The utilisation of these tools as a common basis within GEF IW community will also provide global access to this data and provides a powerful lesson to other IW projects to replicate the approach to enhance the dissemination of findings of projects and the use of graphical techniques to illustrate the results widely.

**Significant use of national/regional expertise through consultants and organisation to further engender national ownership in the outputs:** The UNDP/GEF Lake Baikal project has made almost exclusive use of national/regional expertise through the recruitment of consultants and organisations to deliver the project's high quality outputs. This has facilitated the national (government and other stakeholder) acceptance of the results by using, for example, national centres of excellence that are well known and acknowledged by national bodies. In the case of this project the relevant Academies of Science have both acknowledged the contribution of the work of the project to the overall understanding of the Lake Baikal ecosystem. The important lesson is that projects should be strongly encouraged to use national expertise to strengthen ownership with

limited use made of ‘international’ consultants who would be less likely to generate the same level of ‘ownership’ by national authorities of the results.

### UNDP/GEF Lake Baikal Project Terminal Evaluation Summary Ratings

<b>Evaluation Ratings:</b>			
<b>1. Monitoring and Evaluation</b>	<b>rating</b>	<b>2. IA&amp; EA Execution</b>	<b>rating</b>
M&E design at entry	S	Quality of UNDP Implementation	S
M&E Plan Implementation	S	Quality of Execution - Executing Agency	HS
Overall quality of M&E	S	Overall quality of Implementation / Execution	S
<b>3. Assessment of Outcomes</b>	<b>rating</b>	<b>4. Sustainability</b>	<b>rating</b>
Relevance	R	Financial resources:	L (ML)
Effectiveness	HS	Socio-political:	ML
Efficiency	HS	Institutional framework and governance:	ML
Overall Project Outcome Rating	HS	Environmental :	ML
		Overall likelihood of sustainability:	HS

### Ratings

<b><i>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, I&amp;E Execution</i></b>  6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems	<b><i>Sustainability ratings:</i></b>  4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	<b><i>Relevance ratings</i></b>  2. Relevant (R) 1.. Not relevant (NR)  <b><i>Impact Ratings:</i></b> 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
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## 1 Introduction

### 1.1 Purpose of the evaluation

A Terminal Evaluation (TE) of the UNDP/GEF project '*Integrated Natural Resource Management in the Baikal Basin Transboundary Ecosystem*' (the UNDP/GEF Lake Baikal project) has been undertaken, consistent with the expectations of the GEF and UNDP.

The purpose of the TE is to enable the GEF Agency (UNDP), the Executing Agency (UNOPS) and the countries (Mongolia and the Russian Federation) to assess the achievement of the project against the expectations of the Project Document endorsed by the GEF CEO, and to draw lessons that can both improve the sustainability of the benefits from this project, and aid UNDP programming.

This evaluation considers the project as a whole, including the roles and actions of the PMU, the GEF Agency (UNDP), Executing Agency (UNOPS) and the implementing partners in both countries.

In summary, the objectives of the terminal evaluation are to:

- Identify the strengths and weaknesses of the project design (concept, management arrangements, stakeholder involvement in design, monitoring & evaluation, etc.);
- Assess the achievement of the project in terms of the practical outputs and outcomes expected;
- Document any lessons and good practices that could guide future GEF and UNDP projects globally and provide any specific lessons that may be of benefit to other projects in the region;
- Assess the responses taken by the project (and related stakeholders) to the Mid-Term Evaluation (MTE) and the impact on project delivery and outcome;
- To make any necessary recommendations that would address any short-comings or strengthen approaches within GEF and UNDP programming.

### 1.2 Scope and methodology

The scope of the TE is specified precisely in the Terms of Reference (ToR) for this assignment (Annex 1). Specifically the TE was to assess:

- The project design, including: the results framework; stakeholder involvement; management arrangements; etc.;
- The project implementation including: adaptive management; partnerships; monitoring and evaluation (M&E); project finances; UNDP and UNOPS role; etc.;
- The project results including: attainment of objectives; relevance; effectiveness; efficiency; impact and sustainability.

The assessments of these elements of the project would be summarised in conclusions leading to lessons and recommendations for future initiatives. The TE would also provide a 'rating' of the key evaluation criteria of **relevance, effectiveness, efficiency, sustainability and impact**.

#### Box 1 Evaluation Criteria

- **Relevance** – the extent to which the activity is suited to local and national development priorities and organisational policies, including changes over time, as well as the extent to which the project is in line with the GEF Operational Programmes or the strategic priorities under which the project was funded.
- **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.
- **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.
- **Impact:** including if the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements (following a Review of Outcomes to Impacts – ROTI – approach suggested by the GEF Evaluation Office).

#### 1.2.1 Evaluation design, execution and analysis

The ToR (Annex 1) allowed 25 days for undertaking the evaluation including a mission to the Lake Baikal region. The evaluation was designed to review project outputs, to visit selected sites and discuss the project with stakeholders. Specifically the evaluation considered material from:

- Desk reviews of material provided by the Project Management Unit (PMU) and the project website (<http://baikaliwlearn.org/> )
- A mission (19<sup>th</sup> September 2015 to 3<sup>rd</sup> October 2015) to Mongolia (Ulan Bator) and the Russian Federation (Ulan Ude and Moscow ) to discuss the project with key stakeholders and the PMU, and to visit specific intervention actions undertaken by the project (a mission itinerary, prepared by the PMU, is included in Annex2);
- Skype/email discussions with selected stakeholders that were not available during the mission.

A list of the stakeholders interviewed by this TE is presented in Annex 3 and the key documents referred to are presented in Annex 4. The evaluation criteria were further elaborated as questions within an evaluation matrix (based on a template provided in the ToR for this assignment) presented as Annex 5. The evaluation matrix was used to provide a guide to stakeholders involved in this TE (Annex 6).

Where possible the evaluation has sought the responses from multiple sources and stakeholders before drawing conclusions to provide a degree of quality assurance. The TE was performed according to UN and GEF principles of evaluations: credibility, utility, impartiality, transparency and participation.

A draft TE report was delivered to the UNDP RTA, the UNDP offices in Mongolia and the Russian Federation, UNOPS and the PCU prior to the production of this Final TE Report.

#### 1.2.2 Structure of the evaluation report

This evaluation report adheres to the table of contents indicated in the consultant's ToR (Annex 1).

### 1.2.3 Limitations to the Evaluation

As with all evaluations, time has been limited for this evaluation and the project has delivered many and varied outputs that have resulted in only a brief inspection of some documents and reports by the TE. However the TE considers that those inspected have been representative of the outputs as a whole.

## 2 Project description and development context

Lake Baikal and its transboundary basin including Lake Hovsgol represent an unparalleled global benefit in terms of international waters and biodiversity values. While past and current efforts to protect and sustainably utilize the environment and its natural resources are impressive, they are insufficient to the task of addressing the threats to the health of the Baikal Basin's interconnected aquatic ecosystems. These threats include: climate change, pollution and sedimentation, nutrient loading, and habitat destruction. To address these threats successfully, conservation work must move beyond the protected area limits and into the 87% of the Basin that is not protected where natural resource exploitation continues without regard to ecosystem health and biodiversity conservation objectives. Significant barriers hamper both countries' ability to move ahead both within their national envelopes and jointly on a robust transboundary level. These barriers include: policy and regulatory gaps, institutional weaknesses, poor utilisation of BAT/BEP relevant to key issues facing the Basin, and low levels of awareness of transboundary issues.

### 2.1 Project start and duration

The project was endorsed by the GEF CEO in February 2011 and the inception meeting was held in November 2011. The duration was planned for 48 months with a revised completion of December 2015 to accommodate a slight delay in the project start-up.

### 2.2 Problems that the project sought to address

Building upon a solid baseline of bilateral cooperation between Russia and Mongolia on the transboundary waters of the Selenga River and on the growing economic baselines of the mining and tourism sectors, GEF support catalyses the development and implementation of a Strategic Action Programme (SAP) for the transboundary management and conservation of the Baikal Basin's aquatic ecosystems.

The project also supports efforts from both national and local governments and civil society to mainstream biodiversity conservation measures into mining and tourism sector policies and practices and watershed management planning, leading to improved management of biodiversity and aquatic ecosystems across 11,047,790 hectares.

Capacity building occurs at the transboundary, national and local levels in support of Russian and Mongolian efforts to establish effective structures and mechanisms for protecting water resources and biodiversity through integrated basin management. The Project assists the two countries to enhance and capacitate the activities and responsibilities of the Joint Task Force through the formation of a Joint Commission using existing structures or creating new depending on country's needs, with expanded participation by other relevant sectors and by civil society. One inter-ministerial committee is set up each in Russia and in Mongolia, tasked with managing the decision-making processes for approval and implementation of integrated sub-basin watershed management plans. Country protocols for the Joint Water Quality Monitoring Program, including groundwater, is harmonized and set in use using upgraded monitoring stations.

Pilot projects are launched in partnership with local industries to demonstrate techniques for improving water quality and mainstreaming biodiversity management objectives into sustainable economic development. In addition strategy for (dead) livestock disposal to cease periodic anthrax outbreaks is developed and implemented on real examples. Some pilots deal with "greening" the tourism sector, designed to inform the decision makers within the Baikal Special Zone of Tourism on biodiversity-compatible tourism opportunities (ecotourism).

## 2.3 Immediate and development objectives of the project

The **overall project objective**: To spearhead integrated natural resource management of Baikal Lake Basin and Hövsgöl Lake ensuring ecosystem resilience, reduced water quality threats in the context of sustainable economic development.

This objective was to be achieved through the analysis of the problems impacting the basin (TDA) and the development of a SAP to address these problems affecting the water resources and the biodiversity. An extensive review and updating of a preliminary Transboundary Diagnostic Analysis (prepared during the project preparation phase) was concluded in 2013. In addition actions to support the joint Commission and pilots to test appropriate approaches for inclusion in the SAP were conducted.

## 2.4 Project Implementation and Execution arrangements

The project execution of the UNDP-GEF Baikal Project was the responsibility of the United Nations Office of Project Services (UNOPS), through its Water & Energy Cluster, in accordance with UNDP and UNOPS operational and financial guidelines and procedures. UNOPS is accountable to UNDP, the GEF agency, for the delivery of agreed outputs as per agreed project work plans, for financial management, and for ensuring cost-effectiveness.

At policy and strategic level the UNDP Regional Bureau for Europe and the CIS (RBEC) and the Project Steering Committee (PSC) guide the project. The PSC consists of the National Focal Points from Ministries of Mongolia and Russia, representatives of UNOPS, representatives of the UNDP Support Office in Moscow and the Mongolian Country Office, UNDP and the Regional Technical Advisor (RTA) for International Waters. The PSC meets annually to monitor progress in Project implementation, provide strategic guidance, and review and approve work plans and budgets. PSC meetings are chaired by the UNDP RTA.

The main Project Management Unit (PMU), which is responsible for day-to-day management of the project implementation, is located in Ulan-Ude, Russia. The Russian Technical Project Director is located in Moscow (Russia) and hosted by Ministry of Natural Resources and Ecology (Russia). There is also branch PMU office in Ulan Bator (Mongolia), that houses the National Technical Project Director and the Project Assistant.

## 2.5 Project Budget

**Table 1: Planned (CEO Endorsement) level of resources for the project**

	GEF Grant	Co-Finance	Total
	USD		
Component 1	917,930	20,869,307	21,787,237
Component 2	751,534	8,306,042	9,057, 576
Component 3	1,833,174	14,222,782	16,066,956
Project Management	384,362	5,890,038	6,274,400
<b>TOTAL</b>	<b>3,898,000</b>	<b>49,288,169</b>	<b>53,186,169</b>

This included a budgeted M&E 273,000 USD.

## 2.6 Main stakeholders

The primary stakeholders were the Russian Federation's Ministry of Natural Resources and Environment (MNR) and the Buryatia regional government. In Mongolia, the Ministry of Environment and Green Development (MEGD) were the main stakeholders. In addition there were many local and regional stakeholders from institutes, local authorities and communities.

## 2.7 Expected results

The main project result was focussed on the development and approval of a Strategic Action Programme (SAP) for Lake Baikal Basin that responded to the priority issues identified in the Transboundary Diagnostic Analysis (TDA) addressing both water resources and biodiversity conservation concerns. In addition the project was also fully supportive of the existing institutional transboundary structures (the institute of Plenipotentiaries) formed by 1995 bilateral agreement "Protection and Use of Transboundary Waters".

Through practical demonstration actions in Russia (funded from Russian Federation STAR BD resources), best practice conservation standards for tourism and mining using international approaches and regional examples were elaborated, including the development of tourism plans for Baikal Biosphere Reserve and Zabaikalsky National Park visited during this TE.

The project objectives was to be achieved through three outcomes delivered by three components supported cross-cutting project management support.

### **Outcome 1: Stakeholders Elaborate And Adopt a Strategic Policy and Planning Framework**

- **Output 1.1.** Transboundary Diagnostic Analysis of threats to the Baikal Basin ecosystem including Hövsgöl lake in Mongolia completed
- **Output 1.2.** Study on the Selenga Delta habitat and water quality issues, including toxic pollution and nutrient loading, water level fluxes, sedimentation levels, and the health of the benthic zone
- **Output 1.3.** An assessment of transboundary problems in integrated surface and ground water resources management of the Baikal Basin and corresponding pollution threats, focusing on: stress on ground and surface water resources; deterioration of water quality in both surface and ground waters of the Basin; and vulnerability of groundwater dependent ecosystems
- **Output 1.4.** Pollution hot spot assessment of the transboundary Baikal Basin, including a prioritized list of projects to be considered for future investment, the development of prefeasibility studies and revised regulations to reduce industrial pollution loading in the Baikal/Selenga basin
- **Output 1.5.** SAP, including joint actions to enhance ecosystem protection
- **Output 1.6.** Biodiversity conservation standards and biodiversity management objectives for tourism (including sport fishing) and mining integrated in SAP and local legislation, regional development plans; with amendments to EIA policies to address biodiversity risks
- **Output 1.7.** Sub-basin watershed management plans incorporating biodiversity management and ecosystem resilience objectives



**Outcome 2: Institutional strengthening for IWRM**

- **Output 2.1.** Joint Commission for the Baikal / Selenga Basin established and capacitated on the basis of the current joint Russian - Mongolian Task Force on Transboundary Water Use and Protection
- **Output 2.2.** Inter-ministerial committees established at national levels
- **Output 2.3.** Training program developed and implemented for key actors in an improved and enhanced, long-term transboundary management of the Baikal Basin
- **Output 2.4.** The harmonized Baikal Basin Water Quality Monitoring program set under implementation, including upgraded monitoring stations

**Outcome 3: Demonstrating methods and approaches for water quality and biodiversity mainstreaming**

- **Output 3.1.** Pilot projects on biodiversity conscious mining approaches
- **Output 3.2.** Demonstration and strategy development for (dead) livestock disposal to cease periodic anthrax outbreaks
- **Output 3.3.** Pilots for the mainstreaming of biodiversity and ecosystem health management objectives into tourism planning and practice
- **Output 3.4** Baikal Information Centre, model stakeholder engagement initiative and NGO forum with business and industry partnerships

## 3 Findings

All stakeholders interviewed for this TE have indicated that the design, objectives and execution of the project are fully in-line with the countries wishes/expectations and that the project is supporting their ambitions towards improved transboundary water management and integrated biodiversity conservation.

### 3.1 Project design / formulation

The project underwent considerable development in the period 2007 – 2009 prior to the GEF CEO endorsement in 2010 involving discussions with experts and authorities in both Mongolia and the Russian Federation. The project sought funding from GEF International Waters and Biodiversity focal areas (approximately 67% and 33% respectively) with the BD resources being made available from the Russian Federation's STAR allocation. There were no BD resources available from Mongolia. The BD resources were directed towards pilot demonstrations in the Russian Federation under Component 3. The lack of pilot demonstration actions in Mongolia is considered by the TE to have been a disadvantage to the overall regional project and has contributed to the perception (highlighted in the MTE) that this was a 'Russian Project' by many of the stakeholders interviewed in Mongolia. The TE considers this omission and the lack of any IW resources for similar pilots in Mongolia to have compromised what was generally a well-designed project, by not enabling the Mongolian government and other stakeholders to benefit from on-the-ground interventions that *might have* further strengthened this regional project. With hindsight, including the *national* BD resources in a *regional* component has added to the perceived confusion from Mongolia of this project.

With the exception of the lack of pilot actions, all stakeholders interviewed commented that the project was generally inclusive of national wishes and was closely aligned to the countries' priorities. An exception has been the apparent misunderstanding the countries had towards actions directed at creating a Transboundary Commission with an Executive Director (Component 2). The project has greatly assisted the existing structures (Commission and working groups) but there has been little desire from the countries to modify these. Although there is a recognition that these may need further attention in the future.

These issues are discussed in more detail in subsequent sections of this TE report.

#### 3.1.1 Analysis of Results Framework

The MTE assessed (see Annex 7 for a summary of the MTE recommendations, the management responses and the TE's assessment of implementation of the recommendations) that there were some limitations in the results framework (the indicators were not sufficiently SMART) and the MTE recommended that these were reviewed. This review was undertaken by the project and minor revisions presented to the 3<sup>rd</sup> Project Steering Committee for adoption. The TE considers that the finalised targets and indicators were SMART. This can be seen in Annex 8 which summarises the project's achievements and demonstrates that the majority of targets have been achieved (or exceeded) with only four targets (out of 28) failing to be delivered within the revised timeline of the project.

#### 3.1.2 Assumptions and risks

The CEO and Project Document only identified three risks as being of significance to this project (the national support for the Joint Commission, competing economic interests and climate change). It may have been beneficial to have considered as a risk: the *lack* of Mongolian pilot demonstrations to the uptake of the project; issues associated with hydropower and potential water transfer schemes

in Mongolia; and, possible changes to government personnel (in Mongolia there have been several changes to the government and four changes to the National Project Director which requires additional time from the PMUs to explain the project's objectives and to gain government support).

### 3.1.3 Lessons from other relevant projects

As stated in the Project Document, the UNDP/GEF Lake Baikal project builds on a GEF 1996 BD Conservation project (implemented by the World Bank) that assessed the state of biodiversity and provided a context for strengthening the political and institutional setting. The UNESCO World Heritage Committee monitors the basin and UNESCO has also implemented project on sustainable development education. In addition relevant programmes supported by EU TACIS and USAID have been executed. In Mongolia the project builds on a UNDP/GEF SLM intervention and there has been more recent support from GIZ and Dutch funded actions to support development of Integrated Water Resources Management (IWRM) and specifically River Basin Management (RBM) Plans across Mongolia.

### 3.1.4 Planned stakeholder participation

The Project Document identified many classes of stakeholder from 'community to cabinet'. Predominately stakeholders directly involved in the project are government (central and regional), institutes, park authorities, etc., which reflects the top-down nature of environmental management within the region.

In the Russian Federation there has been significant planned local involvement through the pilots and associated with the Coke 'Every Drop Counts' programme (through UNDP co-financing). In addition the project has worked with an ecological NGO to enhance a network and registry of NGOs in Mongolia and the Russian Federation within the Lake Baikal Basin. In Mongolia community involvement has mainly through the development of two RBM plan under Component 3. There has been no direct involvement of NGOs/CSOs at the PSC meetings.

### 3.1.5 Replication approach

The project is based on the development of an agreed strategic action programme (SAP). The implementation of the SAP is expected to replicate and up-scale the approaches demonstrated in the pilots, to further enhance policies, legislation and institutions relevant to sustainable development within the region whilst protecting the water resources and conserving biodiversity. The lessons and experiences from both the development of the SAP and the subsequent implementation will be of benefit throughout the basin and globally.

### 3.1.6 UNDP Comparative advantage

The PIF highlighted the comparative advantage of UNDP as the GEF Agency for this project as its effectiveness in promoting improved water governance and in championing water and livelihoods through the 2006 Human Development Report (Beyond scarcity: Power, poverty and the global water crisis). In addition UNDP offered regional management strength through national offices in Ulan Bator and Moscow that could assist with implementing the project and providing additional local context to the project. Finally UNDP offered the experiences from previous GEF IW and BD projects that would assist with the overall execution of the project.

### 3.1.7 Linkages between the project and other interventions

As indicated above, the project builds on both support in the region from GEF and other partners. In particular the listing of Lake Baikal as a UNESCO as a world heritage site, recognising the global significance of this unique lake containing 20% of the world's freshwater. UNESCO-IHP has also been a partner in this project facilitating the groundwater assessments and monitoring in the region. In

addition the project is fully consistent with and supportive of the Russian Federation and Mongolia support for the transboundary Joint Commissions on the river Selenga/Lake Baikal basin building on many years of joint co-operation and the 1996 bilateral agreement between the countries. More recently the project has worked closely with the GEF IW:LEARN project, both to ensure that the results are widely disseminated and to pilot the demonstration of the GeoNode approach to information presentation and analysis being developed by GEF IW:LEARN.

### 3.1.8 Management arrangements

The management arrangements have been developed to be an effective means to execute the project. Although complex (with UNDP as the GEF Agency, UNOPS executing the project with in-country support for financial arrangements being provided by UNDP Russia and UNDP Mongolia also facilitating the project actions and providing PSC representation) the project has been very effectively implemented/executed.

The Project Management Unit (PMU) has been based in Ulan Ude with National Project Directors being based in Ulan Bator and Moscow. All stakeholders interviewed, together with the overall Executing Agency (UNOPS) have remarked on the effectiveness and efficiency of the PMU in both delivering the project according to the agreed Project Document. Importantly the PCU (and particularly the PM) were praised for their close co-operation and responsiveness to the two governments, resulting in a high level of national ownership and involvement.

UNOPS has provided project management training (including using PRINCE2 project management procedures) and financial management training for the UNOPS PMU. This has helped ensure that the administrative aspects and the project management requirements of the project have been adhered to and the project has delivered the expected results on-time and to-budget.

## 3.2 Project Implementation

The project has been successfully implemented in accordance with the Project Document and Inception Report.

### 3.2.1 Adaptive management

As with all projects, management is a continuous process of ‘adaptive’ actions. There are many clear cases where this project has adopted a new activity as a result of stakeholder and/or remarks from the PSC. Specific examples where the project has adapted to changes include the procurement of laboratory equipment (atomic absorption lamps) in Mongolia, the production of two high-quality videos (*Pressures Neckless of Baikal*<sup>2</sup> and *Baikal without Boundaries*<sup>3</sup>) and the production of an Ecological Atlas of the Lake Baikal basin<sup>4</sup> (see Project Results for more discussion on these outputs).

The MTE report also highlighted the need for changes to the work programme and the Project Results Framework that were discussed at the 3<sup>rd</sup> PSC meeting and the conclusions adopted necessitating minor changes to the project.

### 3.2.2 Partnership arrangements

The project was designed with multiple partnerships and interested stakeholders consistent with the ‘community to cabinet’ approach within many GEF projects in both countries. The project has been highly successful at engaging governments at local, regional and national levels through the work in developing a TDA/SAP and supporting the transboundary Commission’s work. Through the pilot actions in the Russian Federation the project has worked closely with government departments (MNR), the private sector (mining companies), park authorities (including the Pribaikalski National Park and the Baikal State Biosphere Natural Reserve) and communities. Whilst the Mongolian part of the basin did not directly benefit from pilot projects (but the results and lessons are directly applicable) the project has engaged in the development of two river basin management plans for the Eg and Ider sub-basins that were prepared in close co-operation with local communities.

### 3.2.3 Feedback from M&E activities used for adaptive management

The project has routinely completed annual PIRs and has consistently received positive responses from the UNDP RTA and UNDP lead country office. In addition the project underwent a mid-term evaluation (MTE) in early 2014 where the project was rated as ‘satisfactory’. The MTE did provide 16 recommendations to strengthen the project and these were presented and discussed at the 3<sup>rd</sup> PSC meeting. A UNDP Management Response was prepared identifying the actions that would be taken as a result of the MTE by the Project and relevant partners. Annex 7 of this report summarises the response and impact of the MTE recommendations indicating that the majority of the recommendations had been accepted by the PSC and implemented by the Project.

As indicated above (Adaptive Management) the project has been responsive to suggestions for new activities (e.g. videos) or the preparation of the Ecological Atlas following discussion at PSC meetings.

### 3.2.4 Project finance

The project has been effectively financial managed through appropriate project management actions. The Executing Agency (UNOPS) recruited and supervised staff within the PMU and they have ensured that both UN procedures for procurement and financial management have been adhered to and that the funds available have been effectively utilised within the agreed timetable. To facilitate

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<sup>2</sup> <http://baikal.iwlearn.org/en/pictures/precious-necklace-of-baikal>

<sup>3</sup> <http://baikal.iwlearn.org/en/pictures/video>

<sup>4</sup> <http://baikal.iwlearn.org/en/results/the-ecological-atlas-of-the-baikal-basin>

disbursements in Mongolia and the Russian Federation, UNOPS established an agreement with the UNDP Russia Support Office in Moscow. This has been especially beneficial to the effective management of the project especially as the project has largely recruited consultants and organisations from the region. It is again worth noting that the project has utilised national/regional expertise very effectively for this project and apart from the MTE and TE has only used three international consultants (for the TDA and SAP editing and for the review of the legal agreements in support of the transboundary commission).

The project has presented the budget and planned expenditure for the coming year to the annual PSC meeting for approval. It is notable that the project has achieved >95% expenditure according to the planned budget each year. Again demonstrating the close management of the project by the PMU and the focus on the delivery of the workplan according to the Project Document.

The slight delay (6 months) at the start has resulted in a no-cost extension (approved by the 3<sup>rd</sup> PSC meeting) with the project now concluding in December 2015. There appears to be sufficient budget to maintain the PMU, finalise remaining actions, operationally and financially to close the project. Again this adjustment has been effectively managed by the PMU

**Table 2: Summary of the yearly expenditure by project component.**

Project Component	Total Budget USD	Expenditure 2011/12	Expenditure 2013	Expenditure 2014	Expenditure 2015 (June)	Total Expenditure (June 2015)	%age spent (June 15)
1	917,930	486,313	292,882	109,497	26,445	<b>915,137</b>	100
2	751,534	242,852	218,660	157,992	71,123	<b>690,627</b>	92
3	1,844,174	202,329	517,112	600,762	296,208	<b>1,616,411</b>	88
PM	384,362	102,990	98,745	112,878	26,671	<b>341,284</b>	89
	<b>3,898,000</b>	<b>1,034,484</b>	<b>1,127,400</b>	<b>981,129</b>	<b>420,447</b>	<b>3,563,460</b>	<b>91</b>

### Co-financing summary

The project has provided a detailed summary of the co-financing from partners/stakeholders and has exceeded the total planned in the CEO endorsement document at the start of the project.

**Table 3: Summary of the co-financing of the UNDP/GEF Lake Baikal Project**

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual (2014)	Planned	Actual	Actual	Actual
Grants			45.29 <sup>d</sup>	51.3 <sup>d</sup>			45.29	51.3
Loans/Concessions								
• In-kind support								
• Other	0.3 <sup>a</sup>	0.3 <sup>a</sup>			0.315 <sup>b</sup> 3.387 <sup>c</sup>	0.315 <sup>b</sup> 3.387 <sup>c</sup>	4.002	4.002
Totals	<b>0.3</b>	<b>0.3<sup>a</sup></b>	<b>45.29</b>	<b>51.3<sup>d</sup></b>	<b>3.701</b>	<b>3.701</b>	<b>49.29</b>	<b>55.3</b>

a – Coca Cola – Every Drop counts (CEO)

b – UNESCO

c – Foundation for the Protection of Lake Baikal (Cash)

d – National and Regional Governments of Mongolia and Russian Federation

Since the CEO endorsement the contribution of co-financing to each components has changed, whilst there has been a slight increase in the overall level of co-financing. Significantly more co-financing has been provided to Component 1 (155% of planned) compared with Component 2 (94%) and Component 3 (54%). It is clear that the largest amount of co-financing has been provided from government resources and this, in the TE's opinion, reflects the importance that the countries have placed on the TDA/SAP and the relevance of these to the national priorities.

### **Independent Audit**

The project has been independently audited by a UK organisation (Moore Stephens) under the supervision of UNOPS International Audit and Investigation Group. No significant issues in the project were highlighted and only a minor human error was noted (UNDP Russia had been paying invoices including VAT resulting in about 9 k USD – or approximately 0.28% of the budget- being incorrectly disbursed). The observation of the auditor was that this amount was 'not considered material to the audit'.

### **3.2.5 Monitoring and Evaluation (M&E)**

The project had a detailed M&E programme from inception that was consistent with UNDP and GEF expectations. The MTE recommended minor changes to the results framework (to enhance the 'SMART' indicators) and this was discussed/accepted by the PSC. All management reports (quarterly, annual, PIRs, financial reports, etc.) were prepared as planned. The TE rates M&E overall as **Satisfactory** and M&E design and Implementation as **Satisfactory**.

### **M&E Design**

The M&E plan is presented in the Project Document (page 56, Table 3) and the CEO endorsement document together with an indicative budget of 273 k USD (exclusive PMU staff time and UNDP travel expenses). The TE considers this to be an acceptable indicative budget (approximately 7% of the overall budget) for this project. The plan includes: inception workshops, PIRs, PSCs, status reports, publications, technical reports, MTE/TE, financial audits, etc. This is a more extensive list than many GEF projects where Technical Reports would be considered to be the responsibility of those undertaking the actions. As the project does not include a budget line specifically for M&E activities, and these activities are funded from within the technical/management actions, it has not been possible to independently verify the expenditure related to M&E actions. However it is clear to the TE from the material prepared related to M&E that these actions have been completed.

### **M&E Implementation**

The project has followed the M&E plan presented at the design stage. All reports prepared are available on the website and the TE has reviewed a selection of the PIRs, periodic reports, Project Steering Committee minutes and the financial audit. The Project has held four annual PSC meetings and detailed briefing papers are prepared prior to the meeting with clear summaries of the discussion points and the decisions prepared post-meeting. In addition the PMU is in frequent contact with PSC members (as acknowledged by those interviewed for the TE) to ensure they are well informed about the progress of the project.

The MTE had recommended (as is the norm for most GEF projects) that an 'Exit Strategy' be developed. However it is clear from the work undertaken by the project, the intention of the countries and UNDP that the key next step will be seeking the financing for a 'SAP Implementation' project and thus, this is the main 'exit strategy' for this project.

At the time of the TE (October 2015) the project has not yet completed the final GEF Tracking Tool for the IW or BD focal areas.

### 3.2.6 UNDP implementation and UNOPS Execution

As the GEF Agency, UNDP had overall responsibility for implementation and supervision. UNDP's role was considered by the TE to be **Satisfactory**. UNOPS was responsible for day-to-day project management through the PMU and for ensuring that the UN's and the GEF's procedures for financial management were complied with. The TE considered the execution of this project to be **Highly Satisfactory**. Overall the implementation/execution of this project is rated as **Satisfactory**.

#### Implementing Agency (UNDP)

Despite the apparent complexity of UNDP's involvement as the 'GEF Agency', acting as a Project Country lead through the Support Office (in Moscow) and through the involvement of the Mongolian Country Office, the overall implementation was effective. The UNDP-GEF Regional Technical Advisor, the head of the Project Support Office in Moscow and the UNDP CO in Mongolia all were active participants in the PSC. The RTA was responsible for providing oversight and guidance with regards to GEF expectations. The UNDP Project Support Office in Moscow was responsible for providing regional disbursements in Mongolia and the Russian Federation in partnership with UNOPS and the UNDP CO in Mongolia assisted with national issues and priorities. However this was a *regional* project and the prime responsibility for implementation rested with the UNDP-GEF RTA.

It was noted by the TE that there clearly had been some confusion between the different parts of UNDP and a lack of clarity over their roles in this regional project with some aspects of this complex organisational structure contributing to the misunderstanding and common view in Mongolia that this had been a 'Russian Project'. This issue had been addressed extensively in the MTE and it is clear that any future regional projects would make these roles clearer to all stakeholders.

#### Implementing Partner (UNOPS) execution

UNOPS were identified in the Project Document as the implementing partner responsible for the day-to-day management of activities through a locally recruited PMU. UNOPS has had extensive experience of delivering GEF IW projects in the past, but it is noted by the TE that this project has been particularly highly effective and efficient in the execution of the project. The UNOPS staffed PMU was quite large for the size of project including: a Project Manager, two national Project Directors (in Ulan Bator and Moscow), Project Technical Experts, financial officer, and two administrative/ logistic/ financial officers; seven staff in total. The UNOPS PMU also was highly effective at working at three locations demonstrating that projects can operate efficiently when not co-located.

The Project Manager and the Financial Officer both undertook in-house UNOPS training course at the start of the project that has proven to be highly beneficial in their abilities to deliver the expected project and comply with the UN financial requirements.

The Mongolian PMU (National Project Director and Administrative/Finance Officer) were responsible for the aspects undertaken in-country, and for ensuring that the TDA/SAP inputs were provided and close liaison with government stakeholders. In Moscow the Russian Federation National Project Director was responsible for a similar role and co-ordinating the contractors from institutes based in Moscow. The remaining staff (including the Bio-resources and Data Expert who was responsible for overseeing much of the high-quality outputs) were based in Ulan Ude.



Without exception, all stakeholders interviewed commented on the strength of the PMU in general to respond to requests and to deliver the project, and praised the flexible and dedicated approach demonstrated by the Project Manager. These strengths within the PMU were also noted by UNOPS Copenhagen/New York based personnel responsible for the project on behalf of the client.

### 3.3 Project Results

Government representatives interviewed emphasised the multiple positive results achieved by this project, including: society being better informed about water and biodiversity; high quality of the outputs; significant regional data to assist with decision making in the future; strengthened international co-operation. In particular emphasis was given to the project's assistance in harmonising approaches to water and biodiversity management and the lasting benefits of experts working together to develop joint solutions presented in the SAP.

Key results highlighted by stakeholders include:

- The TDA/SAP
- The Ecological Atlas
- The State of the Environment of Lake Baikal
- The development of ecotourism through eco-trails, information, etc.
- Videos
- The greater recognition of Lake Baikal regionally and globally
- Support to the Joint Commission
- Reports and recommendations on pollution (e.g. mines) sources
- Development of community relevant river basin management plans;
- The partnering with GEF IW:LEARN on the use and presentation of geographical data with GeoNode.

#### 3.3.1 Overall results (attainment of Objectives)

The TE assessed the main results achieved by the project in accordance with the Results Framework. A detailed table is presented in Annex 8 indicating the indicator, target, the status at the end of the project (including to references to the outputs on the project website) and the evaluator's comments. In total the results framework contained 28 indicators with targets (in some cases there are multiple targets). Against the 28 indicators/targets the project has achieved:

- 19 targets have been achieved;
- 4 targets were exceeded;
- 1 target has been deleted (following recommendation by the MTE and approval at the 3<sup>rd</sup> PSC meeting);
- 2 targets are pending (the final formal approval of the SAP and the acceptance of groundwater policies under considerations by the Working Group of the Transboundary Water Commission)
- 2 targets have not been achieved (related to legal recognition of the Joint Commission in each country and the appointment of an Executive Director for the Joint Commission).

The TE considers that this project has achieved a very high-level of success, especially with respect to the targets that were within the *direct* control of the project. The two targets that have yet to be reached relate to the transboundary Joint Commission. This was raised by the MTE and a recommendation to delete these targets was made by the review and presented to the 3<sup>rd</sup> PSC. The removal of these targets was supported by the PSC (in particular the countries did not wish to pursue this at the current time) although the project did not finally remove these targets as they were highly relevant to the GEF. The following summarises the key outputs achieved by the project under there three component/outcomes.

### **Outcome 1: Stakeholders Elaborate and Adopt a Strategic Policy and Planning Framework**

The elaboration of a joint TDA and the formulation of an agreed SAP has been a significant achievement of this project. In particular reflecting sub-basin water management, groundwater issues (supported by the actions undertaken by UNESCO-IHP to develop groundwater strategies and considerations of conjunctive surface/groundwater management) and biodiversity conservation considerations.

The updated TDA includes specific studies on climate change assessment, groundwater pollution risks and ground / surface water intermixing, Selenga Delta study etc. Two sub-basin management plans for Russia (Tugnuy-Sukhara and Khilok) and two sub-basin management plans for Mongolia (Ider and Eg) were completed and then they were endorsed by the governments. In parallel, capacity development of the transboundary commissions and national institutes, authorities and other key stakeholders complemented by the results of targeted pilots would further strengthen the capacity of authorities and communities to reduce water resources concerns and improve biodiversity conservation capabilities.

All interviewed for this TE indicated that the SAP was fully in-line with national priorities and ministerial workplans. There was significant recognition in the value of the material assembled for the TDA as being both high quality and providing a significant resource for the future management of the basin.

The GEF places high importance on the formal endorsement by *the highest level possible* in each government. Both the MEGD in Mongolia and the MNR in the Russian Federation (the Vice Minister in each case) indicated that the documents was to be accepted, and letters have been received by the project from each ministry to indicate that this internal endorsement process was proceeding with the support of the Minister's advisors.

A meeting of the Plenipotentiaries is scheduled for later in 2015 and there is an expectation that this formal endorsement will be received then. However due to the significant support within both countries there have been indications that the ministries will be adopting the actions of the SAP within their own workplans irrespectively of any formal endorsement process. The TE considers this level of support for the SAP as very encouraging.

### **Outcome 2: Institutional Strengthening of IWRM**

The key outputs within Component 2 were linked to strengthening the Joint Commissions and plenipotentiaries actions and meetings. Significant training workshops and practical logistic support has been provided by the project to these IWRM related activities of the countries. In particular the strengthening of water quality monitoring and harmonisation of methodologies used. However a key expectation was the formation of a 'transboundary water commission' with an Executive Director, to replace/supplement the current plenipotentiary function.

Although the objective to create an 'upgraded' commission has not been achieved (and apparently was not seen as a priority by the countries) much has been done to improve the functioning of the working groups of the current system. Multiple discussions conducted in both countries with ministry staff have indicated that the countries recognised that changes *may* be needed in the future to the Join Commission but at present there was little desire for this to occur. However the work the project has conducted, both in practical support for monitoring, assistance and training to the working groups, and the review of legal elements of commissions and transboundary authorities is greatly appreciated and will provide a basis for further internal discussions and possible actions.

Whilst the MTE and the 3<sup>rd</sup> PSC made recommendations to remove the relevant target associated with the Joint Authorities, this has remained as a ‘target’ of the project. Although this target has not been achieved it has ensured that the topic has remained as a discussion for both countries and provided the outputs of the project will assist in their decision making in future. This is likely to become increasingly important with the debates in Mongolia on the use of water resources in hydropower schemes and potential plans for additional mining in regions which will require water transfer schemes to be considered. There TE was provided with indications that this could be a consideration for a follow-on project on the basis of the conclusions and recommendations of this project.

### **Outcome 3: : Demonstrating technologies for water quality and biodiversity mainstreaming**

The main outputs associated with Component /Outcome 3 are linked to pilots associated with mining, livestock disposal and mainstreaming biodiversity objectives. This component was largely funded from the Russian Federation STAR BD focal area and consequently all the pilot actions were in the Russian Federation. The IW budget assisted with cross-cutting elements associated with information dissemination (e.g. Baikal Information Centre) and the development of videos, Ecological Atlas, the website, State of the Baikal Environment, etc. In addition the outputs from the Russian Federation pilots were made available to the Mongolian partners to encourage replication through the SAP implementation.

The pilots have resulted in highly relevant results that are already claimed to be catalysing additional resources in the Russian Federation through Federal funds. The project has worked closely with national parks, Ramsar sites, and biosphere reserves to encourage ecotourism, assisted in promoting more biodiversity appropriate approaches addressing mining and mine waste, etc. These outputs have all been well documented and made available through the project website, and where relevant included in the SAP as recommendations. More significantly the results have encouraged authorities to adjust procedures or close certain mining and paper pulp operations in the region potentially resulting in a significant reduction of environmental stress from pollution.

The support to and achievements of the Baikal Information Centre (BIC) is particularly noteworthy. Both in terms of the technical developments and partnership with the GEF IW:LEARN project on the use of the geographical tools (through the open source GeoNode system GEF IW:LEARN has been encouraging IW projects to make available geo-based information) and on the use of the BIC as a means to communicate and disseminate the achievements of the project. This will be a valuable source of information to stakeholders involved in developing strategies and implementing policies in future years. Both governments have indicated their continuing support for the BIC.

As emphasised above (project design) it is unfortunate that resources from the IW budget were not sufficient for implementing some pilots in Mongolia to further gain practical experiences and generate additional ownership. Such a change in the design may have assisted in countering the perception, prevalent at all levels in Mongolia, that this was a ‘Russian Project’

### 3.3.2 Relevance

The UNDP/GEF lake Baikal Project is considered by this TE to be highly **Relevant** to multiple stakeholders within the region and to UNDP/GEF and other international stakeholders.

The development of this project over several years in close co-operation with regional stakeholders has ensured that the activities are fully in-line with national and regional priorities. The Project Document clearly identifies the national legislation and policies that the project supports and the TE confirms that the project was relevant to these.

**Regional relevance:** The project actions are very closely aligned with national issues. Vice Ministers in both countries emphasised this during the TE discussions. Clearly the transboundary actions supports the 1995 bilateral agreement on the 'Protection and use of Transboundary Waters'. Whilst a goal of the project to update this agreement has not been achieved due to lack of national support for a revision, the project has provided significant capacity strengthening and logistic support to the working groups and the meetings.

The development of the SAP, responding to the key water and biodiversity concerns of the Lake Baikal, is also viewed as an important asset to the countries. That will assist in stimulating additional national and international funds to address the pollution issues and introduce additional biodiversity measures.

The project has been relevant to the national parks within the region and worked in support of the Ramsar registered areas and the biosphere reserve. This work has been consistent with the listing of Lake Baikal as a UNESCO world heritage site.

In working with the 'polluting industries' including mining, the project has addressed pollution and biodiversity conservation issues from the private sector. Whilst the pilots have only been executed in the Russian Federation the practical approaches are highly relevant to Mongolia when funds are available for replication/up-scaling of these actions.

**Relevance to the GEF and global benefits:** In addressing the problems of Lake Baikal the project is assisting with the protection of 20% of the global freshwater resources. It is unlikely that any other single GEF IW projects would be able to claim this as a goal. The benefits to the GEF, particularly in the lessons and experiences generated by the project, are relevant to both the IW and BD focal areas.

### 3.3.3 Effectiveness

In the four years since the effective start of this project, the PMU has successfully implemented close to 100 activities and taken part in over 120 events. The project has been implemented according to the PSC agreed time-line and budget. There have been no significant issues that necessitated modifications to the work programme. The TE rates the effectiveness of this project's execution as **Highly Satisfactory**.

Annex 8 summarises the main outputs of the project against the results framework, showing the wealth of the information generated and that the key targets had been reached. Examination of both PIRs and PSC meeting minutes confirms the delivery of the expected outputs according to the agreed work plan.

In addition the project has prepared additional outputs following agreement with the PSC that responded to stakeholder requests. Here the very high quality videos produced (Baikal without boundaries and the Precious necklace of Lake Baikal) should be highlighted. These are a benefit to both the local communities and more widely to a global audience. Both are available through the project website on Youtube which lists them as the first item when a search is performed for 'Lake

Baikal. The preparation of the Ecological Atlas is also an indication of the ability of the project to respond to evolving requirements and through the effective and efficient execution of the project resources were found to enable this bilateral Atlas to be prepared. The institutes from Mongolia and the Russian Federation that prepared this, together with their governments, recognise the importance of this first bilateral atlas in the region and the importance that this resource will provide to future ecological management.

The project has effectively communicated their work and the values of Lake Baikal to a wide audience. Both through the three-language website and from participation at over 120 events and linking into multiple media sources resulting in 230 published accounts of the work.

The success of this project is largely attributed to the dedication and effective function of the PMU in ensuring that tenders are developed, evaluated and contracts issued in a timely fashion whilst ensuring that the results delivered are fit for purpose and meet the needs and expectations of the two countries. The role of the PMU was highlighted as a significant contributing factor to the overall success by many of the stakeholders interviewed by the TE.

#### 3.3.4 Efficiency

The project has efficiently executed the project as planned and disbursed the budget as agreed with the PSC. The TE rates the efficiency of this project as **Highly Satisfactory**.

As indicated above (Project Finances) the project has achieved a high level of disbursement against the annual budget. (2012 – 95%; 2013 – 99%; 2014 – 96% and 2015 (June) – 56% - with a current project closure scheduled as December 2015).

The PMU has a clear focus on the delivery of results and adherence to agreed schedules for executing the project. This focus was emphasised by UNOPS management that highlighted the 'results oriented' delivery of this project and the contribution of the PMU to ensuring that this was delivered as agreed.

The PMU also devoted significant time (in Mongolia and the Russian Federation) to briefing ministerial staff on the progress of the project. Keeping these important stakeholders informed and involved in the work of the project contributed to both the effectiveness and efficiency of the project's delivery, in the TE's opinion.

#### 3.3.5 Country Ownership

As emphasised above (Relevance) the project has been closely developed and executed with the countries co-operation and full engagement. The ownership of both the project and the results is very high as expressed by Vice Ministers in each country. The high utilisation of national/regional experts for this work has contributed to the 'ownership' with the project ensuring that the most appropriate institutes and authorities have contributed to the TDA, SAP, Ecological Atlas, State of the Environment Report, etc. Academies of Science in Mongolia and the Russian Federation have fully recognised the contribution of this project to the understanding of the water and biodiversity of the Lake Baikal Basin.

Through the development of all the joint activities the project has also fostered improved co-operation and strengthened relations between experts, institutes and government departments related to the Lake Baikal Basin. This point has been made by senior representatives of both governments.

### 3.3.6 Mainstreaming [UNDP priorities]

Where relevant, the project has worked towards mainstreaming core values of UNDP.

**UNDP Country Priorities:** The project document presented the expected outcomes and outputs/indicators for both countries relevant to this work. In Mongolia the expected outputs/indicators are: *The impact of the depletion of non-renewable resources and environmental degradation assessed and corrective actions reflected and addressed in national and sectoral plans.* In the Russian Federation: *Conserved ecosystems are considered as important resource for sustainable development.* The actions proposed in the SAP are fully in-line with these and the expected implementation of the SAP will see contributions to these UNDP Country Outputs being achieved

**Disaster risk recovery:** The Project Document identified earthquakes and tailing dams as potential risks to the environment and livelihoods of the region. The project has assisted in developing improved biodiversity conservation approaches for mine activities, but the risks identified in the project document still exist in the region. In addition the increase in forest fires in the Lake Baikal has become a significant threat that will require future attention. Not all these fires are from natural causes and some interviewees in the TE indicated that following fires the resources may be commercially exploited from protected areas (normally in protected areas all activities are prohibited). This indicates the tension that exists between environmental protection and livelihoods that will require resolution in future to encourage a sustainable development approach to environmental protection.

**Gender:** The Project Document contained no references to gender and the PIRs have all indicated that gender issues have not been considered directly by the project. The project however has had a gender balanced PMU and consultants working on this project.

**Poverty/environment:** The project's focus has been on ecosystem protection and has linked to issues of sustainable development through the support of the pilot actions linked with ecotourism. The project has reduced (and through the SAP will further reduce) pollution from mines and other industrial sources that will protect fisheries.

**Human rights:** There has been no work directly linked with rights issues in the region

**Capacity development:** The project has had a significant impact on capacity development at all levels (communities, schools, institutes, government, etc.) with regards to water, biodiversity and the environment in general. The project has been supportive of transboundary co-operation by providing direct training to members of the Working Groups of the Joint Commission.

**Climate change:** The issues of climate change are clearly linked to the concerns identified in the TDA and adaption approaches to deal with changes in climate are discussed in the SAP.

### 3.3.7 Sustainability

The TE identified differences (mainly associated with economic conditions) between the sustainability of actions between Mongolia and the Russian Federation. However the TE rates the overall sustainability of the project as **Moderately Likely**.

A strength of GEF IW focal area has been the sustainability of project results through the GEF IW:LEARN (now entering its 4<sup>th</sup> phase) website and thereby ensuring that the results are available to

both stakeholders in the region and more widely as relevant lessons and experiences for other GEF (and non-GEF) projects addressing environmental issues.

#### **Financial sustainability:**

All environment projects struggle with sustaining financial resources but the clear country ownership and support for the SAP suggest that the financial sustainability of this project is **likely**.

This is particularly true on the Russian Federation side where since the project has been running the Federal government has launched a significant environment protection programme (including the construction of the 1000 m<sup>2</sup> Biosphere information centre on Lake Baikal linked to pilot ecotourism /biodiversity conservation actions of the project) of over 40 billion rubbles for Lake Baikal.

International resources will probably still be required to support transboundary activities in particular. The TE rates the Russian Federation's support to the future SAP implementation as **Likely**

In Mongolia there is a greater challenge in obtaining resources but the commitment was clearly stated from the MEGD to pursue the implementation of the SAP. However from the monitoring laboratories in Mongolia the TE observed that resources for routine analyses are limited. Additional international resources to support SAP implementation are essential. The TE rates the Mongolian financial sustainability support to the future SAP implementation as **Moderately Likely**.

#### **Socio-political Sustainability:**

The project has had a dominant focus on government bodies and mechanisms with a relatively limited resources directed at community organisations or NGOs. This in-part reflects the approach to environmental management in the region as predominantly 'top-down'. However there are clear signs that the project has provided direct support for NGO networks in both countries, supported civil society's involvement in the development of river basin management plans in Mongolia and (through the Coca Cola co-financing, 'Every drop counts') direct NGO actions in the Russian Federation. The TE rates the socio-political sustainability of this project as **Moderately Likely**.

#### **Institutional and Governance Sustainability:**

The actions of the project are in-line with the governments' objectives in the countries. Specifically the SAP (and the expected implementation of the SAP) and the support the project has provided to the technical and political aspects of the transboundary Joint Commission. Whilst the project expected reforms to the nature of the Joint Commission has not been achieved, the countries have reflected on the legal reports prepared on their behalf and have indicated to the TE that future work and changes to the Joint Commissions in-line with other international conventions /commissions may be required. The project has also encouraged through its use of extensive regional/national institutes the strengthening of the many institutions involved in Lake Baikal Basin. The TE rates the Institutional and Governance Sustainability as **Likely**.

#### **Environmental Sustainability:**

The TDA identified seven main ecosystem problems that are impacting the Lake Baikal transboundary Basin. All of which continue to present challenges to the Lake Baikal Basin ecosystem with climate change is the most likely to disturb the water regime and biodiversity status of the region.

The regional anthropogenic issues associated with industrial (including mining processing and waste) and urban pollution (from Ulan Bator and Ulan Ude in particular), including solid waste (the issues associated with plastic waste in the environment was highlighted by several stakeholders) will



remain an issue until adequate wastewater treatment is installed. In Mongolia the greatest threats to the Selenga /Baikal Basin are the considerations of large hydropower dams and potential water diversion schemes (to mining areas outside the basin). The role of the SAP and the function of the transboundary Joint Commission will be important to jointly manage the waters and impacts of any changes to the water regime on the biodiversity in the region. In addition the region will face future challenges from the tension between ‘sustainable’ development (and livelihood improvements) and environmental management that will need to address issues of invasive species, changes in livestock numbers (especially in Mongolia) and forest fires (especially in the Russian Federation). The TE rates the Environmental Sustainability as **Moderately Likely**.

### 3.3.8 Impact

There have been clear beneficial environmental impacts within the lifetime of the this UNDP/GEF Lake Baikal project. In addition the TE is confident that the future implementation of the SAP will lead to additional ecosystem impacts. A Review of Outcomes to Impacts (ROtI) analysis has been undertaken and is shown diagrammatically in Annex 9. The TE rates the impact of this project (based on a ROtI analysis) as **Satisfactory** (or **Highly Likely**).

Current environmental impacts with a direct **Stress Reduction** indicators from this project include

- The MNR has taken actions as a result of the studies and assessments by this project by adopting recommendations on mines and mine tailing dams, including the closure through the removal of operating licenses.
- Pilot action to trial ‘cattle mortuaries’ that will be replicated post project, reducing the risk of biological hazards (including anthrax) from inappropriate disposal of animal carcasses
- Closure of a paper mill in the basin eliminating many tonnes of waste from entering the lake;
- Reduction in mineral processing using mercury for gold extraction (through better control and reduction in informal mine activities)

In addition it is possible to postulate that the SAP and strengthening of capacity action will have a **Process** indicator reduction in environmental stress through the future implementation of the SAP (see ROtI analysis in Annex 9).

The unplanned actions of the project (e.g. the videos and Ecosystem Atlas) are also likely to have benefits by increasing awareness of the importance of Lake Baikal and providing a good basis for understanding the basin and its resources that will be an asset to future water management and biodiversity conservation.

## 4 Conclusions

The UNDP/GEF Lake Baikal Project is very relevant locally, national, regionally and globally supports the protection and conservation of this UNESCO world heritage site containing 20% of the global surface freshwater.

The project design, with all the pilot actions being funded in the Russian Federation with STAR Biodiversity resources, has apparently continuously resulted in this project being perceived in Mongolia as a 'Russian Project'. This issue was extensively highlighted in the MTE report. It is unfortunate that at the time of design some of the IW resources in Component 3 were not directed at pilot actions in Mongolia to balance the project. However the project has successfully been delivered and the lessons and experiences from the pilots in the Russian Federation have been documented and shared with Mongolia to facilitate replication through any follow-on action to implement the SAP.

The detailed joint transboundary diagnostic analysis highlighted the main transboundary threats to the region and marked an important collaborative milestone involving institutes and experts from both Mongolia and the Russian Federation. This collaboration continued to the successful conclusion of the development of the Strategic Action Programme that detailed the recommendations actions needed to address the transboundary problems. To this end the project has made extensive use of national/regional expertise and institutes grounding the TDA and the SAP within a strong 'country ownership'. Both countries are committed to the SAP and have approved the document at the Project Steering Committee and within the respective ministries of environment. Formal signing of the SAP by the Vice Minister for Mongolia (MEGD) and the Russian Federation (MNR) is expected at the next meeting of Plenipotentiaries between the two countries. However there is still much more work to be done to address emerging issues (invasive species, fires, water resources and use, pollution, etc.) within the basin in the future.

The project has been highly successful in both the effectiveness of project delivery and the efficiency in the utilisation of financial resources. UNOPS and the UNOPS recruited Project Management Unit have to be acknowledged for this. The TE can also report that all stakeholders met within the countries praised the strengths of the PMU in general, and the technical capability of the experts and the Project Manager in particular for their flexibility and responsiveness. There was a clear emphasis by the PMU on project results and the delivery of this by an excellent team was enabled and empowered by the Project Manager. The project has complied with the reporting (both UNDP and the GEF) requirements.

In summary the conclusion of all interviewed in the countries was that this project had delivered as expected to a high quality, consistent with national priorities and in partnership with the appropriate national, regional and local authorities. The countries and UNDP should jointly develop a SAP implementation project to maintain the significant achievements of this project and move to ensure the appropriate water management and biodiversity conservation to protect the transboundary Lake Baikal Basin

## 5 Recommendations

The TE's recommendations are all focused on a follow-on project that will assist with SAP implementation, due to the highly successful rating on the overall project and there have been only relatively minor negative comments on the whole process and these have been directed towards to original design of the project being not balanced. The following recommendations on a follow-on action are not presented in priority order, but the TE considers that all these recommendations would be beneficial to the next phase.

The TE recommends that a new project is developed by Mongolia, the Russian Federation and UNDP that:

- Has a focus on SAP implementation addressing GEF multi focal areas of relevance to the River Selenga/Lake Baikal basin as a regional project. Specifically International Waters, Biodiversity, Climate Change. In addition it would be of interest to investigate Land Degradation due to the pressures from increased livestock, deforestation and Chemicals and Waste with regards to mining activities, taking account of problems of potential desertification issues in Mongolia.
- To ensure that the title and objectives of the project reflect the wider basin, for example the River Selenga/Lake Baikal or to broaden the scope to include all three transboundary basins between the Russian Federation and Mongolia. The title would help mitigate any concerns that the project is perceived as a 'Russian' project. However it will be important to continue to stress that any SAP intervention is being approached as a 'regional' initiative, irrespective of where the main PMU is located.
- The SAP implementation should assist in developing concrete action plans in the basin to assist with direct actions that could be implemented at different levels. To ensure that the interests of other ministries (specifically, economy, industry, agriculture, tourism, power, etc.) are addressed and reflected in implementation action plans.
- To increase the focus of the project on issues that are affecting Mongolia through replication /upscaling of practical demonstrations tested under this project (e.g. mining) and to investigate issues of specific concern to the Selenga River Basin in Mongolia (e.g. land use and over grazing).
- To further engage local communities and NGOs to develop local action plans including: river basin management plans, local biodiversity conservation plans and to promote advocacy and raise awareness.
- To further promote the standardisation of methods of monitoring and analysis and data management;
- To further explore options to enhance the working of the transboundary Joint Commission through to meet the needs of the SAP and the management of resources, building on the legal assessment conducted by the current project;
- To facilitate links where needed with UNECE Helsinki Agreement in Mongolia;
- To continue the strong links with local/national institutions that can further foster country ownership of actions

## 6 Lessons

### **Close co-operation with governments and support from all levels of society**

Like most projects the UNDP/GEF Lake Baikal had strong links with the governments of both countries at the design phase to ensure that the objectives of the project were closely aligned with national priorities. This project had frequent communications at many levels throughout the operation of the project that ensure both engagement and awareness of the progress of the project. More importantly this close involvement ensured that the direction of the SAP remained closely aligned with national policies and priorities. In addition through the pilot projects in the Russian Federation and the development of river basin management plans in Mongolia links were established with local communities and NGOs. This was complemented through multiple communication and awareness raising exercises that address needs of schools to institutes. The project has been a good example of 'community to cabinet' engagement.

### **The need to effectively balance project design between countries to ensure all countries feel fully involved in regional projects**

This regional project has suffered in Mongolia in being perceived as a 'Russian' led initiative as a result of the UNDP and PMU lead offices which were exacerbated by the pilot activities (financed from the GEF BD focal area STAR allocation to the Russian Federation) being only based in the Russian Federation. This perception was compounded due to a lack of distinction in Component 3 that the pilots would only be implemented in the Russian Federation. As suggested by the TE it some of the concerns would have mitigated if the IW budget for component 3 would have been diverted to undertaking pilot actions in Mongolia. Or to have made it more transparent that the BD resources for pilots were specifically for one country by creating a separate component to avoid any confusion. The lesson from this project is the importance of ensuring that all countries benefit *directly* from practical on-the-ground actions to ensure additional benefits from both community engagement and government 'ownership' of the regional project pilot actions.

### **Using adaptive management approaches to respond to stakeholder requests for new or revised outputs**

New or updated suggestions for activities are welcome over the life of the project and it is a positive signal that projects can provide to accommodate suggestions from interested stakeholders that will further engage them and assist with sustaining the work post-project. The UNDP/GEF Lake Baikal project has received suggestions beyond the agreed Project Document for the production of high quality videos and the production of the Ecological Atlas. Following appropriate PSC authorisation resources were made available for the production of these highly-effective outputs. These have strengthened the awareness raising function of the project aimed at multiple audiences and provided an important resource for future scientific research and facilitating environmental protection strategy development and management.

### **Strong links with GEF IW:LEARN to capitalise on the use of new approaches for presenting information**

The GEF IW:LEARN project has been developing tools to facilitate the visualisation of geographical information to assist other GEF IW projects. The UNDP/GEF Lake Baikal project was one of two IW projects that took these tools and have utilised them effectively within the 'Baikal Information Centre' (BIC) to enable researchers, policy makers and other interested stakeholders to access the

wealth of information that has been gathered by the project through the open-source GeoNode package. The utilisation of these tools as a common basis within GEF IW community will also provide global access to this data and provides a powerful lesson to other IW projects to replicate the approach to enhance the dissemination of findings of projects and the use of graphical techniques to illustrate the results widely.

**Significant use of national/regional expertise through consultants and organisation to further engender national ownership in the outputs.**

The importance of creating national/regional ownership for the work undertaken by projects is clear. The UNDP/GEF Lake Baikal project has made almost exclusive use of national/regional expertise through the recruitment of consultants and organisations to deliver the project's high quality outputs. This has facilitated the national (government and other stakeholder) acceptance of the results by using, for example, national centres of excellence that are well known and acknowledged by national bodies. In the case of this project the relevant Academies of Science have both acknowledged the contribution of the work of the project to the overall understanding of the Lake Baikal ecosystem. The important lesson is that projects should be strongly encouraged to use national expertise to strengthen ownership with limited use made of 'international' consultants who would be less likely to generate the same level of 'ownership' by national authorities of the results.

## Annexes

Annex 1 – Consultant’s Terms of Reference for the Terminal Evaluation

Annex 2 – Mission itinerary

Annex 3 – Persons interviewed

Annex 4 – Documents reviewed

Annex 5 – Evaluation matrix

Annex 6 – Stakeholder interview guide

Annex 7 – MTE management response and actions

Annex 8 – Assessment of results framework achievements

Annex 9 – Review of Outcomes to Impacts (ROtI)

Annex 10 - Evaluation Consultant Agreement Form

## Annex 1: Consultant's Terms of Reference for the Terminal Evaluation

### INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the UNDP-GEF project “Integrated Natural Resource Management in the Baikal Basin Transboundary Ecosystem” (PIMS #4347)

The essentials of the project to be evaluated are as follows:

### PROJECT SUMMARY TABLE

Project Title:	Integrated Natural Resource Management in the Baikal Basin Transboundary Ecosystem (Baikal Project)			
GEF Project ID:	4029		<u>at endorsement</u> (Million US\$)	<u>at completion</u> (Million US\$)
UNDP Project ID:	4347	GEF financing:	\$3,898,000	\$3,898,000
Country:	Russian federation, Mongolia	IA/EA own:		
Region:	Europe&CIS	Government:		
Focal Area:	International Waters, Biodiversity	Other:		
FA Objectives, (OP/SP):	Strategic policy and planning framework, Institutional Strengthening for IWRM, Demonstrating methods and approaches for water quality and biodiversity mainstreaming	Total co-financing:	Cash contributions: Foundation for the Protection of Lake Baikal: US\$3,387,097 Coca-Cola: US\$300,000 UNESCO: US\$ 315,000  In-kind contributions: National Governments US\$15,161,290 Regional Governments US\$30,124,782	Cash contributions: Foundation for the Protection of Lake Baikal: US\$3,387,097 Coca-Cola: US\$300,000 UNESCO: US\$ 315,000  In-kind contributions: National Governments US\$15,161,290 Regional Governments US\$30,124,782
Executing Agency:	UNOPS	Total Project Cost:	US\$53,186,169	US\$53,186,169
Other Partners involved:	UNESCO	ProDoc Signature (date project began):		20 June 2011
		(Operational) Closing Date:	Proposed:	Actual:

			31 December 2015	
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## OBJECTIVE AND SCOPE

Lake Baikal and its transboundary basin including Lake Khovsgol represent an unparalleled global benefit in terms of international waters and biodiversity values. While past and current efforts to protect and sustainably utilize the environment and its natural resources are impressive, they are insufficient to the task of addressing the threats to the health of the Baikal Basin's (BB) interconnected aquatic ecosystems. These threats include: climate change, pollution and sedimentation, nutrient loading, and habitat destruction. To address these threats successfully conservation work must move beyond the protected area limits and into the 87% of the Basin that is not protected where natural resource exploitation continues without regard to ecosystem health and biodiversity conservation objectives. Significant barriers hamper both countries' ability to move ahead both within their national envelopes and jointly on a robust transboundary level. These barriers include: policy and regulatory gaps, institutional weaknesses, poor utilization of BAT/BEP relevant to key issues facing the Basin, and low levels of awareness of transboundary BB issues.

The project's objective is to spearhead integrated natural resource management of the Lake Baikal Basin and Khovsgol Lake ensuring ecosystem resilience, reduced water quality threats in the context of sustainable economic development.

Building upon a solid baseline of bilateral cooperation between Russia and Mongolia on the transboundary waters of the Selenga River and on the growing economic baselines of the mining and tourism sectors, GEF support catalyzes the development and implementation of a Strategic Action Programme (SAP) for the transboundary management and conservation of the Baikal Basin's aquatic ecosystems.

The project also supports efforts from both national and local governments and civil society to mainstream biodiversity conservation measures into mining and tourism sector policies and practices and watershed management planning, leading to improved management of biodiversity and aquatic ecosystems across 11,047,790 hectares.

Capacity building occurs at the transboundary, national and local levels in support of Russian and Mongolian efforts to establish effective structures and mechanisms for protecting water resources and biodiversity through integrated basin management. The Project assists the two countries to enhance and capacitate the activities and responsibilities of the Joint Task Force through the formation or of a Joint Commission using existing structures or creating new depending on country's needs, with expanded participation by other relevant sectors and by civil society. One inter-ministerial committee is set up each in Russia and in Mongolia, tasked with managing the decision-making processes for approval and implementation of integrated sub-basin watershed management plans. Country protocols for the Joint Water Quality Monitoring Program, including groundwater, is harmonized and set in use using upgraded monitoring stations.

Pilot projects are launched in partnership with local industries to demonstrate techniques for improving water quality and mainstreaming biodiversity management objectives into sustainable economic development. In addition strategy for (dead) livestock disposal to cease periodic anthrax outbreaks is developed and implemented on real examples. Some pilots deal with "greening" the tourism sector, designed to inform the decision makers within the Baikal Special Zone of Tourism on biodiversity-compatible tourism opportunities (ecotourism).

During preparation phase a preliminary TDA of the basin was developed in 2008. The four year Full Sized Project document was signed in June 2011. The PMU was hired November 2011 and the Inception Workshop was held in November 2011.



The hierarchy of Project goal, objectives, major deliverables and expected outcomes, as well as the related indicators, is laid down in the Project Document, the subsequent Inception Report, Steering Committee Report, and Annual Work Plans. (<http://baikal.iwlearn.org/>)

The extensive review and updating of the preliminary Transboundary Diagnostic Analysis of 2008 was concluded in 2013. Updated TDA additionally includes specific studies like climate change assessment, groundwater pollution risks and ground / surface water intermixing, Selenga Delta study and etc. A hot spot assessment was made for Russia and Mongolia and pollution levels were detected. Two sub-basin management plans for Russia (Tugnuy-Sukhara and Khilok) and two sub-basin management plans for Mongolia (Ider and Eg) were completed and then they were endorsed by the governments.

Project supports existing institutional transboundary structures (the institute of Plenipotentiaries) formed by 1995 bilateral agreement "Protection and Use of Transboundary Waters". Additionally the concept paper and the road map for the process of developing and enhancing the legal and institutional framework of bilateral transboundary water cooperation were developed. The learning exchange with Sava River Basin Commission was organized. The Harmonized water quality monitoring program for the Baikal Basin was developed. At list 13 of data parameters jointly were monitored by the two countries across the Baikal Basin. About 30 parameters were harmonized. The database for modeling and simulation of pollutants transport in the Baikal basin waters was developed.

Best practice conservation standards for tourism, mining using international and regional examples were elaborated and the gap analysis was provided. Tourism plans for Baikal Biosphere Reserve and Zabaikalsky National Park were developed. The conception of Baikal Information Center was developed and BIC web portal was launched. Communication and public awareness plans for both countries were prepared. Shoreline clean-up companies in Russia and Mongolia for raising public awareness in environment conservation issues were organized.

Project execution for the UNDP-GEF Baikal Project is the responsibility of the United Nations Office of Project Services (UNOPS), through its Water & Energy Cluster, in accordance with UNDP and UNOPS operational and financial guidelines and procedures. UNOPS is accountable to UNDP, the implementing agency, for the delivery of agreed outputs as per agreed project work plans, for financial management, and for ensuring cost-effectiveness.

At policy and strategic level the UNDP Regional Bureau for Europe and the CIS (RBEC) and the Project Steering Committee (PSC) guide the project. The PSC consists of the National Focal Points from Ministries of Mongolia and Russia, representatives of UNOPS, and the Regional Technical Advisor for UNDP RBEC International Waters. The PSC meets annually to monitor progress in Project implementation, provide strategic guidance, and review and approve work plans and budgets. PSC meetings are chaired by the UNDP Regional Technical Advisor. The PSC retains the authority to amend its membership as it deems necessary.

The main Project Coordination Unit (PCU), which is responsible for day-to-day management of the project implementation, is located in Ulan-Ude, Russia. The Russian Technical Project Director is located in Moscow (Russia) and hosted by Ministry of Natural Resources and Ecology (Russia). There is also branch PCU office in Ulaanbaatar (Mongolia), houses the National Technical Project Director and the Project Assistant.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

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## **EVALUATION APPROACH AND METHOD**

An overall approach and method<sup>5</sup> for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR ([Annex C](#)). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to the PCU in Ulan-Ude (Russia) and its branch offices in Ulaanbaatar (Mongolia) and Moscow (Russia).

The main stakeholders of the TE include the PCU in Ulan-Ude (Russia) and its branch offices in Moscow (Russia) and Ulaanbaatar (Mongolia), the PSC members, specifically the Countries' National Focal Points, UNOPS, the UNDP RBEC, the UNDP Country Offices in Russia and Mongolia, the GEF Focal Points in Russia and Mongolia, and selected contractors involved in project implementation. A list of recommended interview partners will be provided by the PCU in advance of the field visit. The PCU will provide the Consultant with support to obtain all the necessary and requested documentations and logistical assistance to conduct the evaluation mission.

Interviews will be held with the following organizations and individuals at a minimum:

- Staff of the Project Coordinating Unit (Moscow, Ulan-Ude and Ulaanbaatar)
- Vladimir Mamaev, UNDP-GEF Regional Technical Advisor in Istanbul Regional Hub
- Kirk Bayabos, UNOPS Senior Portfolio Manager in Copenhagen
- Project Executing Partners (UNESCO)
- Project National Coordinators in Russia and Mongolia
- Federal and regional government representatives from Russia and Mongolia
- Selected contractors involved in project implementation
- Other constituencies and stakeholders not directly involved in the project who may have experienced, or may be expected to experience, its impacts.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

## **EVALUATION CRITERIA & RATINGS**

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the

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<sup>5</sup> For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

<b>Evaluation Ratings:</b>			
<b>1. Monitoring and Evaluation</b>	<i>rating</i>	<b>2. IA&amp; EA Execution</b>	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
<b>3. Assessment of Outcomes</b>	<i>rating</i>	<b>4. Sustainability</b>	<i>rating</i>
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

## PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

## MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

## IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has

demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.<sup>6</sup>

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons**.

## IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in Russia. UNOPS will contract the evaluator and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

## EVALUATION TIMEFRAME

The total duration of the evaluation will be 25 days according to the following plan:

Activity	Timing	Completion Date
<b>Preparation</b>	<i>3 days</i>	01 September-15 September 2015
<b>Evaluation Mission</b>	<i>13 days</i>	16 September-15 October 2015
<b>Draft Evaluation Report</b>	<i>7 days</i>	16 October–15 November 2015
<b>Final Report</b>	<i>2 days</i>	16 November-30 November 2015

## EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP CO
<b>Presentation</b>	Initial Findings	End of evaluation mission	To project management, UNDP CO
<b>Draft Final Report</b>	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
<b>Final Report*</b>	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

\*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

## TEAM COMPOSITION

<sup>6</sup> A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

The Evaluator will be an international consultant. The consultant shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Evaluator must present the following qualifications:

- Demonstrated international consulting experience and professional background in the water resources management sector. A minimum of seven years relevant experience is required.
- Previous experience in the EECCA countries. Understanding of governance, political, economic and institutional issues associated with transboundary water issues in the EECCA countries required;
- A Master degree in water resources management, environment, international relations, or relevant field required.
- Knowledge of UNDP and GEF results-based monitoring and evaluation methodologies;
- Substantive experience in reviewing and evaluating similar technical assistance projects, preferably those involving UNDP-GEF or other major ICPs required.
- An ability to assess policy and governance framework and institutional capacity required;
- Familiarity with GEF International Waters strategic programs and portfolio advantageous
- Excellent English writing and communication skills; demonstrated ability to assess complex situations in order to succinctly and clearly distil critical issues and draw well supported conclusions, required;
- Russian language skills advantageous;

## EVALUATOR ETHICS

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Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

## PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
10%	Following submission and approval an inception report
40%	Following submission and approval of the 1ST draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

## APPLICATION PROCESS

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Applicants are requested to apply online UNOPS <https://gprs.unops.org>. Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs).

UNOPS and UNDP apply a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

**ANNEX A: PROJECT LOGICAL FRAMEWORK**

<b>Objective/Components/ Outcomes</b>	<b>Indicator</b>	<b>Baseline</b>	<b>Target</b>	<b>Sources of verification</b>	<b>Risks and Assumptions</b>
Objective: To spearhead integrated natural resource management of the Lake Baikal / Selenga River Basin (including Lake Hövsgöl in Mongolia), ensuring ecosystem resilience and reduced water quality threats in the context of sustainable economic development.	1) Baikal Basin Strategic Action Programme, including mitigation strategies to address climate change to focal species and aquatic/riparian habitat and strategies for invasive species.  2) National Action Plans for national portions of Baikal Basin.	Not completed, approved or adopted.	Completed, approved, and adopted by EoP (end of project)	Endorsement letter from each respective national focal point.	Transboundary collaboration on Baikal basin issues, while long-standing, may have difficulties maturing into a more robust results-based approach.  Approved SAP includes real, tangible measures and milestones.
	The long-term security of aquatic biodiversity for at least three sub-basins in the transboundary Baikal Basin as measured by the # of hectares in target sub-basins under improved management.	Zero hectares in these three sub-basins have watershed management plans mainstreamed with biodiversity conservation objectives.	Target: 11,047,790 hectares Russia: Tugny-Sukhara basin (4,640,000 ha) Mongolia: Ider River basin (2,275,730 ha) Egiin River basin 4,132,060 ha	Sub-basin watershed management plans; Endorsement letters from MNET and relevant authorities of those plans.	The potential economic returns from non-sustainable development may, in the medium to long run, trump the protection extended by a mainstreamed watershed management plan.
	Pollution levels in pollution hot spot monitoring areas.	Mercury, other mining pollutants at elevated levels in hot spot areas. Specific levels TBD at inception.	Reduction of at least 20% in target areas by EoP.	Field monitoring results.	Mercury may continue to be used illicitly even after alternatives are demonstrated.
	Ecosystem resilience parameters for Hovsgol Lake. - Nutrient concentrations: soluble reactive phosphorus (SRP) /Chlorophyl-a) - Secchi depth <sup>7</sup>	SRP: 0.5-2; Chl-a: 0.2-1 <sup>9</sup> 16-20 meters TBD first summer season of project.	Targets: SRP & Chl-a: No upward change; Secchi depth: no reduction. Abundance and age structure: maintained at baseline levels.	Monitoring data from annual monitoring program.	Exogenous forces (sedimentation from development; pollution) that may affect results.

<sup>7</sup> Secchi depth is a simple and cheap indicator valuable to monitoring together with other explanatory indicators. Declines in secchi depth indicate reduced water clarity due to an organic change (increased phytoplankton) or inorganic (rock dust or soil runoff).

<sup>9</sup> The Geology, Biodiversity and Ecology of Lake Hovsgol. 2006. pp. 387-402. ed. C.E. Goulden, T. Sitnikova, J. Gelhaus, and B. Boldgiv. Backhuys Publishers, Leiden, The Netherlands.

Objective/Components/Outcomes	Indicator	Baseline	Target	Sources of verification	Risks and Assumptions
	- Abundance and age structure of Hovsgol grayling <sup>8</sup>				
	# of productive sector policies and regulations that incorporate biodiversity management and ecosystem resilience objectives in Russian and Mongolian portions of Baikal Basin.  (Improved enabling environment for biodiversity conservation in target productive sectors of tourism, recreation and mining.)	Zero	By EoP a total of 10 policies or regulations modified to incorporate measures to conserve and sustainably use biodiversity:  - Tourism: Revised and enhanced tourism plans adopted/not adopted by three target PA in Russia.  - Mining: At least 2 policies modified in each country, for total of four.  - Sport fishing: At least 1 regulation or policy modified by 2 protected areas in Russia.  - Watershed management planning: at least one watershed management planning policy modified in each country.	GEF Tracking Tool	Russian and Mongolian stakeholders will maintain the initiative and policy support necessary to achieve this mainstreaming.
	Replication quantification measure: # of resource users applying biodiversity mainstreaming practices in mining and tourism sectors in Russia and Mongolia Baikal Basin.	Zero	At least 10 mining companies in Mongolia and 10 in Russia by EOP.  At least 15 tourism companies in Russia and 15 in Mongolia by EOP	Workshop reports; quarterly reports; field interviews with key actors.	
	Trend of Taimen and Grayling populations in two types of riverine habitat: healthy “stronghold” habitat and degraded “troubled” habitat.	Trend is stable at healthy population levels in strongholds.  Egiin River Taimen: 19 individuals/km <sup>10</sup>	No change in health population dynamic.  <i>i.e.</i> : Egiin River: at least 19 individuals/km	Monitoring data and fisheries assessments.	Consistent enforcement of EIA and other environmental protection laws

<sup>8</sup> The abundance and age structure of Hovsgol grayling is relevant as they depend on spawning habitat in tributary streams as well as production (benthic and pelagic) in the lake. They are sensitive to changes in multiple environments within the watershed. They're also an endangered species, so they're of interest on their own.

<sup>10</sup> Jensen, O.P. *et.al.* 2009. Evaluating recreational fisheries for an endangered species: a case study of taimen (*Hucho taimen*) in Mongolia. Canadian Journal of Fisheries and Aquatic Sciences. 66:1707-1718.

Objective/Components/ Outcomes	Indicator	Baseline	Target	Sources of verification	Risks and Assumptions
		Trend is downward or stable at low population levels in troubled areas.	No deterioration or upward trend of at least 10% improvement.		
<b>Outcome 1.Stakeholders Elaborate and Adopt a strategic Policy and Planning Framework.</b>	Completed TDA by end of project yr.1	Preliminary TDA during project PPG	Agreed and jointly implemented TDA/SAP providing road map for ecosystem protection, and addressing epidemiological concerns, groundwater pollution issues and attention to high risk industrial hot spots.	TDA & SAP documents.	Prioritization of national and local funding (and donor support) to implement SAP and study recommendations.
	Improved mainstreaming of biodiversity primary and secondary impact considerations into the EIA reporting within the Russian portion of the Basin.  # of SAP implementation pilots developed for implementation in Mongolian portion of the Basin.	Biodiversity mentioned in reports but little analysis of potential impacts and no alternative steps proposed in 90% of EIA.  No concepts developed.	At least 50% of the EIA reports show measurable improvement in treatment of primary and secondary impact considerations for mining and tourism development projects.	Independent reviews of EIA reporting in the Baikal Basin of Russia.  Actual concept documents.	
	New policy and regulatory frameworks incorporating groundwater assessment results.	Some data available on industrial pollution hot spots and on groundwater, but with significant gaps and not linked to .		Increased funding for implementation of SAP and outcomes of studies, as seen in national and local government budgeting.	Willingness of countries to collect and make available pollution discharge data from industries in the region.
	Baikal Basin-Wide Pollution Hot Spot Analysis and Reporting Methodology adopted/not adopted by Joint Commission on Baikal Basin.	No such basin-wide methodology exists or adopted.	Adopted by year 2.	Joint Commission Decision.	Joint Commission will not object to such a hot spot analysis.
	Groundwater protection policy recommendations approved/not approved by the Joint Commission on Baikal Basin.	No such policies exist.	Approved by end of year 3.	Joint Commission Decision.	Joint Commission will not object to such a policy.
	Model sub-basin Essential Fish Habitat (EFH) properly assessed and mapped.	No EFH	At least 12 EFH by year 3 of the project.	EFH maps and habitat assessment document; fish stock assessment recommendations.	Stakeholder expertise will be sufficient to identify EFH.
	# of sub-basin watershed management plans that incorporate	None.	At least 2 by end of year 4.	Actual sub-basin plans and official endorsement	Plans may fail to secure approval.



Objective/Components/Outcomes	Indicator	Baseline	Target	Sources of verification	Risks and Assumptions
	biodiversity and ecosystem services management objectives.			letter from regional entity (Oblast, Republic, Aimag)	
<b>Outcome 2: Institutional strengthening for IWRM.</b>	Governments of Russia and Mongolia extend/do not extend legal status to Joint Commission on Baikal Basin.	Joint Russian-Mongolian Task Force on Transboundary Waters Use is not a legal entity.	Legal status obtained under Russian and Mongolian law by end of year 3.	Memorandum of Agreement Approved revised organizational status papers.	Joint Commission will receive authority from governments to negotiate joint agreements and will have authority on water as well as biodiversity issues.
	Full-time Executive Director of Joint Commission appointed/not appointed.	No full time director of Joint Task Force.	Appointed by year 4.	Appointment letter from relevant Russian or Mongolian organization.	Russian and Mongolian lead organizations will provide resources for the appointment.
	# of National and/or regional Baikal or Selenga inter-ministerial commissions or working groups in Russia and Mongolia.	1 – the Baikal Commission in Russia.	2 additional by EoP: - A Selenga Working Group or Commission in Mongolia; - A Selenga Delta/Baikal Working Group in Buryatia	Ministry level approval in Mongolia of Selenga Commission or Working Group; and Regional Government approval in Buryatia.	Interministerial groups include all pertinent ministries and participants have decision-making authority.
	% improvement in knowledge of key technical aspects of ecosystem-based IWRM management in the following institutions: Baikalkumvod, Buryat regional authorities, PA of Russian Baikal; Water Authority of Mongolia, Ministry of Nature Environment and Tourism (Mongolia);  # of people in staff trained in: • ecological resilience modeling • IWRM and basin planning • ecological monitoring and risk assessment • EIAs, industrial site inspections • GIS & spatial planning • Avoidance and containment of invasive species • Enforcement of water quality and biodiversity regulations.	Knowledge level TBD at beginning of each training by brief test;	At least 30% improvement for all trainees.  - Baikalkumvod: At least 20 people trained.  - Buryat regional authorities: at least 30 people.  - PA of Russian Baikal: at least 30 people from 3 PA.  - Water Authority of Mongolia; at least 20 people;  - Ministry of Nature Environment and Tourism (Mongolia): at least 30 people.  In total at least 130 people trained by EoP.	Before/after skills tests.  Training records; APR/PIR	Financial support from countries for upgrade and continuation of monitoring program  Two countries will detail ministry staff plus consultants as necessary to develop the self-assessments

Objective/Components/ Outcomes	Indicator	Baseline	Target	Sources of verification	Risks and Assumptions
	Strengthened status of Joint Commission.	Joint Commission has no legal status or authority/capacity to do anything.	Legal status granted by Russia/Mongolia, with first-ever executive director employed.	Reports, legal decisions, interview with executive director. Joint agreements and revised bilateral treaty.	Willingness to increase national funding for transboundary Baikal Basin management.
	# of data parameters jointly monitored on a quarterly basis by the two countries across the Baikal Basin to enable comparability of water quality and species data.	Zero	At least 6 by year 3.	Monitoring data and joint monitoring reports on the shared parameters.	Cross border cooperation is achieved on monitoring and data sharing
<b>Outcome 3: Demonstrating technologies for water quality and biodiversity mainstreaming.</b>	% by which 4 pilot mining sites reduce water pollution due to mainstreaming demonstrations.	Baseline to be set during yr 1.	At least 30% by end of year 4.	Monitoring results Before and after testing of pollution loading at selected mining sites.	National & local willingness to try voluntary approaches with private sector.
	# of cases of anthrax diagnosed per year in Barguzinsky and Kurumkansky Districts of the Republic of Buryatia.	8 in 2009.	0 by end of project.	Health records, news reports.	Better livestock disposal may be hampered by high costs of improved solid waste disposal or adequate incineration.
	# of eco-tourism plans approved at regional level (Oblast, Republic) in Russia-Baikal Basin with biodiversity management objectives mainstreamed.  # of SAP pilot concepts developed under IW work in Mongolia.	Zero	At least 3 in Russian portion of Baikal Basin by EoP.  At least 3 Aimag-level SAP pilot concepts in Mongolian portion by EoP.	Plans themselves.	
	Increase in investment in sustainable ecotourism over life of the project in pilot PA within the Baikal Basin	2010 fiscal year will be the Baseline to be confirmed at project inception.	At least an increase in US\$10 million by end of Project over baseline levels.	Official budgets; Project records; APRs;	Russian Government will continue its support for ecotourism in the Baikal region.
	# of website hits made by Baikal region and Russian/Mongolian stakeholders accessing the Baikal Information Center website.	Zero	Increasing levels during years 2-4 of the project of at least 10% year over year.	Web site visitation reports focusing on visits from the region, from the two countries and worldwide.	Local stakeholders will visit website.
	# of organizations around the Baikal region using the first of an annual “State of the Baikal-Hovsgol Basin” report in Russian, Mongolian and	Report does not yet exist.	Published by EoY 4. At least 90 distributed to 30 institutions by EOP; At least 20 downloads of PDF file by country per year.	The report itself.	Stakeholder interest in such a “State of...” report remains strong.

Objective/Components/ Outcomes	Indicator	Baseline	Target	Sources of verification	Risks and Assumptions
	English (Universities, Libraries, Local and National government offices, Management entities and Schools) in Russian and Mongolian portions of the Baikal Basin.				
	# of km of Baikal shoreline and tributary rivers cleaned of litter/solid waste;  # of news articles published on this cleaning work around Lake Baikal.	0  0	50 by EoP  20 by EoP	Site observations (before and after) of shoreline;  Published articles themselves.	NGOs will maintain interest in participating;  News organizations will cover such events.

## **ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS**

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*Project Document (ProDoc) and Annexes*

*Project Inception Report*

*Documents from Steering Committee Meetings*

*Quarterly Progress Reports and Annual PIRs*

*Project website*

*Reports from the various trainings, workshops, and conferences*

*Technical reports prepared by the experts and consultants in the breakdown of the project components*

*Project budget and work plans*

*Others, as deemed relevant*

**ANNEX C: EVALUATION QUESTIONS**

*This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.*

Evaluative Criteria Questions	Indicators	Sources	Methodology
<b>Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?</b>			
•	•	•	•
•	•	•	•
•	•	•	•
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
•	•	•	•
•	•	•	•
•		•	•
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>			
•	•	•	•
•	•	•	•
•	•	•	•
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
•	•	•	•
•	•	•	•
•	•	•	•
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b>			
•	•	•	•
•	•	•	•

## ANNEX D: RATING SCALES

<b><i>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, I&amp;E Execution</i></b> 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems	<b><i>Sustainability ratings:</i></b> 4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	<b><i>Relevance ratings</i></b> 2. Relevant (R) 1.. Not relevant (NR)  <b><i>Impact Ratings:</i></b> 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
<b><i>Additional ratings where relevant:</i></b> Not Applicable (N/A) Unable to Assess (U/A)		

## ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

### Evaluators:

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

### Evaluation Consultant Agreement Form<sup>11</sup>

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

Name of Consultant: \_\_\_\_\_

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

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

Signed at place on date

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

<sup>11</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

## ANNEX F: EVALUATION REPORT OUTLINE<sup>12</sup>

- 
- i. Opening page:
    - Title of UNDP supported GEF financed project
    - UNDP and GEF project ID#s.
    - Evaluation time frame and date of evaluation report
    - Region and countries included in the project
    - GEF Operational Program/Strategic Program
    - Implementing Partner and other project partners
    - Evaluation team members
    - Acknowledgements
  - ii. Executive Summary
    - Project Summary Table
    - Project Description (brief)
    - Evaluation Rating Table
    - Summary of conclusions, recommendations and lessons
  - iii. Acronyms and Abbreviations  
(See: UNDP Editorial Manual<sup>13</sup>)
  - 1. Introduction
    - Purpose of the evaluation
    - Scope & Methodology
    - Structure of the evaluation report
  - 2. Project description and development context
    - Project start and duration
    - Problems that the project sought to address
    - Immediate and development objectives of the project
    - Baseline Indicators established
    - Main stakeholders
    - Expected Results
  - 3. Findings  
(In addition to a descriptive assessment, all criteria marked with (\*) must be rated<sup>14</sup>)
  - 3.1 Project Design / Formulation
    - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
    - Assumptions and Risks
    - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
    - Planned stakeholder participation
    - Replication approach
    - UNDP comparative advantage
    - Linkages between project and other interventions within the sector
    - Management arrangements
  - 3.2 Project Implementation
    - Adaptive management (changes to the project design and project outputs during implementation)
    - Partnership arrangements (with relevant stakeholders involved in the country/region)
    - Feedback from M&E activities used for adaptive management
    - Project Finance:
    - Monitoring and evaluation: design at entry and implementation (\*)
    - UNDP and Implementing Partner implementation / execution (\*) coordination, and operational issues

<sup>12</sup>The Report length should not exceed 40 pages in total (not including annexes).

<sup>13</sup> UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

<sup>14</sup> Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.



**3.3** Project Results

- Overall results (attainment of objectives) (\*)
- Relevance(\*)
- Effectiveness & Efficiency (\*)
- Country ownership
- Mainstreaming
- Sustainability (\*)
- Impact

**4.** Conclusions, Recommendations & Lessons

- 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
- Best and worst practices in addressing issues relating to relevance, performance and success

**5.** Annexes

- ToR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form

## **ANNEX G: EVALUATION REPORT CLEARANCE FORM**

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*(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)*

Evaluation Report Reviewed and Cleared by

UNDP Country Office

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

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

UNDP GEF RTA

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

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

## Annex 2: Mission Itinerary

### *Proposed agenda of the terminal evaluation field mission*

#### *Ulaanbaatar, Mongolia*

##### **20 September 2015, Sunday**

###### **Arrival**

**Project personal will meet you at airport Chinggis Khaan at 07.30 am from flight Moscow -Ulaanbaatar and travelling to Ramada hotel ~30 min.**

##### **21 September 2015, Monday**

*09.15 – meeting on Ramada ground-floor (Mrs. Tumurchudur Sodnom), by taxi to Project unit office, around 10 min*

**9.30-10.30 am Meeting with PCU**

**11.00 -12.00 am National Water Committee**

**Meeting with Mr. Badrakh Tsend** - Head of the National water committee (Mongolia), SAP team participant and **Ms. Oyuntugs** - Head of the Orkhon River basin council (ORBC), Baikal Information Centre, Mongolia

*ORBC is the executor of RFQ/EMO/2013-049 (IWC-00078317), “Baikal Information Centre (BIC) maintenance, Mongolia”*

*12.00 – 13.15 – launch in nearby restaurant*

**14.00 -15.00 pm /Central Laboratory of Environment and Metrology**

**Meeting with Ms. Erdenebayar** – Chief specialist of the Central Laboratory of Environment and Metrology (CLEM), Intercalibration of analytical procedures for analytes, included into harmonized program of Hydrochemical monitoring for Selenga river basin, Mongolia

*(CLEM is the executor of RFQ/EMO/2013-038 (IWC-00078317) Intercalibration of analytical procedures for analytes, included into harmonized program of hydrochemical monitoring for Selenga river basin (Mongolia)*

*15.10 –moving to Ramada, dinnertime can be specified at reception*

##### **22 September, Tuesday**

**10.00-10.30 am**

**Meeting with Mr. M. Khurelsukh** - Deputy Minister of environment, green development and tourism (Mongolia)

**15.00-16.00 /UNDP Mongolia**

**Meeting at the UNDP office with Mrs. J.Chimeg** - Project Focal Point, UNDP Mongolia, Steering Committee

**16.30-17.30 am / Institute of Hydrology, Meteorology and Environment**

**Meeting with Mr. G. Davaa**- Head of the Hydrology section, The Institute of Meteorology, Hydrology and Environment, Mongolia, Steering Committee Member, TDA team participant, SAP team participant

*(IHME is the executor of RFQ/EMO/2012-012 (IWC-78317) “Developing Harmonized water quality monitoring program for the Baikal Basin in Mongolia”*

*17.30 – travelling back to Ramada by taxi around 15 min*

##### **23 September, Wednesday**

**11.00 12.00 am/ Institute of Geography, Mongolian Academy of Sciences**

**Meeting with Ms. Oyungerel and Mrs. Enkhtaivan** - Institute of Geography, Ecological Atlas of Baikal basin, Mongolia

(The IG is the executer of the RFQ/EMO/2013-047 (IWC-00078317) The Ecological Atlas of the Baikal Basin)

**14.00-15.00 /Project unit office**

**Meeting with Mr. Bilguun Oyuntsetseg - SAP consultant (The Lake Baikal project)**

**24 September, Thursday**

**(Ramada→ Railway station takes 20-25 min by taxi).**

**Departure by train to Ulan-Ude, Buryatia on 16.25 pm**

***In Ulan-Ude, Russia***

**25 September, Friday**

**10.00 a.m. - Meeting with Konstantin G. Dremov, Head of Federal Service for Supervision of Natural Resource Usage**

**11.00. Meeting with PMU**

**11.15. Meeting with Endon Zh. Garmaev – Professor, Director of BINM**

BINM is a contractor for the following services:

- RFQ/EMO/2012-009 Study on Selenga Delta water quality issues
- RFQ/EMO/2013-050 (IWC-00078317) “Baikal Information Centre (BIC) maintenance, Russia”
- RFQ\_GPSO\_2013\_036 (IWC-00078317) Monitoring of water quality and on Selenga Delta
- RFQ\_GPSO\_2013-057 (IWC-78317), “Development of technological solutions for minimization of anthropogenic impact of ore gold mining and processing enterprises on environment”
- RFQ\_GPSO\_2013-061: “Holding of round table “development of ecological tourism: initiatives and partnership of business, society and state” within the scope of international Forum “EcoTourism on Baikal +20” on July 13, 2013 in Turka (tourist zone “Baikalskaya gavanj”), Buryatia, Russia” and “Training for stakeholders” awareness rising and management improvement in the field of environmental problems of Lake Baikal Basin and the role of green economy in their solving”
- RFQ\_GPSO\_2013\_057 16-Apr-2013 Pilot project mining Holbinski Russia
- RFQ\_GPSO\_2014-077 (IWC-78317) “The demonstration best practices in siting a new mine in order to avoid soil and groundwater contamination and impacts on surface water systems.”

**Meeting with Anna S. Mikheeva – LICA (Recommendations on environmental investments on active concerns to reduce pollution discharge in the Russian Federation»)**

**Meeting with Andrey N. Beshentsev – Head of laboratory of geo-informational systems, BINM (executor of RFQ/EMO/2013-050 (IWC-00078317) “Baikal Information Centre (BIC) maintenance, Russia”)**

**Meeting with Eduard Batotsyrenov – EcoLeague**

***Field trip, Buryatiya, Russia***

**26-27 September, Saturday**

**08.00 a.m. Pribaikalski National Park**

**Meeting with Mikhail Ovdin, Head of Pribaikalski National Park**

**Visiting of Sorogiya Bay**

### **28 September, Monday**

**08.00 a.m. Baikal State Biospheric Natural Reserve (BSBNR)**

**Meeting with Vasily Sutula, Head of Baikal State Biospheric Natural Reserve (BSBNR)**

Visit of Visitor centre and Cedar Eco-Trail

**18.00 - Meeting with Valerii S. Molotov (Head of Baikal Rosvodresursi)**

### **29 September, Tuesday**

**10.00 - Meeting with PMU**

**14.00 - Meeting with Alexander V. Lbov - Deputy Minister of The Ministry of Natural Resources of Buryatia**

**16.00 - Meeting with Bator D. Tsyrenov, Executive director of Baikal preservation Fund, Assistant of Deputy of the Russian State Duma (Mr. Mikhail Slipenchuk)**

### ***Moscow, Russia***

### **30 September, Wednesday**

**17.00 (or possibly at 16.00) - Meeting with Ms. Natalya Ye. Olofinskaya - Head of the UNDP Moscow office, Russia, Steering Committee Member.**

### **01 October, Thursday**

**15.00 - Meeting with Mr. Amirkhan M. Amirkhanov – National Project Director in Russia, Deputy Head of Federal Service for Natural Resources Supervision under Ministry of Natural Resources and Ecology of the Russian Federation, Steering Committee Russian Co-chairman**

**Meeting with Mr. Irina B. Fominikh - Deputy Director of the Foreign Department of the Minister of Natural Resources and Ecology, Russia, Steering Committee Member**

**16.00 - Meeting with Mrs. Irina Maksimova - SAP consultant (The Lake Baikal project)**

### **02 October, Friday**

**11.00 a.m. - Meeting with Mr. Nikolai S. Kasimov – Academician (Russian Academy of Sciences), Dean of Faculty of Geography, Moscow State University.**

**Meeting with Mr. Mikhail Yu. Lychagin – assistant of Dean of Faculty of Geography, Moscow State University.**

*(MSU is a contractor for the following services:*

- *RFQ/EMO/2012-011 Database for modeling and simulation of pollutants transport in the Baikal Basin;*
- *RFQ/EMO/2013-040 (IWC-00078317) Intercalibration of analytical procedures for analytes, included into harmonized program of hydrochemical monitoring for Selenga river basin (The Russian Federation)*
- *RFQ/EMO/2013-040 (IWC-00078317) «Setting up the model of pollutants transport and water balance in the Baikal Basin»*
- *RFQ\_GPSO\_2015\_085 (IWC-78317) Predictive assessment of long-term changes of water balance in the basin of transboundary Selenga river in terms of climatic fluctuations and changes of the characteristics of water use.*

**13.00 - Meeting with Petr D. Gunin – LICA (Biodiversity expert, Russia), TDA team participant, SAP team participant.**

### **03 October, Saturday**

**Departure**

## Annex 3: Persons Interviewed

Amirkhan M.	Amirkhanov	National Project Director, Deputy Head of Federal Service for Natural Resources Supervision under Ministry of Natural Resources and Ecology of the Russian Federation
Bart	Angaer	Former Minister of Buryat (Russian Federation)
Boris	Baduyev	PIU – Finance Officer
Eduard	Batotsyrenov	EcoLeague (Buryat, Russian Federation)
Kirk	Bayabos	UNOPS IW Cluster Manager
Sergey	Bazha	TDA/SAP Consultant, Laboratory of Ecology of Arid Lands, Russia – Mongolia Expedition (Russian Federation)
Andrey N.	Beshentsev	Head of laboratory of geo-informational systems, BINM (Buryat, Russian Federation)
Altanchimeg	Chimiddorj	PIU - Administration and Finance Officer
Mr. G.	Davaa	Head of the Hydrology section, The Institute of Meteorology, Hydrology and Environment, Mongolia
Konstantin G.	Dremov	Head of Federal Service for Supervision of Natural Resource Usage (Buryat, Russian Federation)
Mrs	Enkhtaivan	Institute of Geography, Ecological Atlas of Baikal basin, Mongolia
Ms.	Erdenebayar	Chief specialist of the Central Laboratory of Environment and Metrology (Mongolia)
Irina B.	Fominikh	Deputy Director of the Foreign Department of the Minister of Natural Resources and Ecology, (Russian Federation)
Endon Zh.	Garmaev	Professor, Director of BINM (Buryat, Russian Federation)
Paul	Gremillion	International SAP Consultant
Petr D.	Gunin	TDA/SAP Consultant, Laboratory of Ecology of Arid Lands, Russia – Mongolia Expedition (Russian Federation)
Chimeg	Junai	Project Focal Point, UNDP Mongolia
Mr. M.	Khurelsukh	Deputy Minister of Environment, Green Development and Tourism (Mongolia)
Sergey	Kudelya	PIU - Project Manager
Alexander V.	Lbov	Deputy Minister of The Ministry of Natural Resources of Buryatia (Russian Federation)
Mikhail Yu.	Lychagin	Assistant of Dean of Faculty of Geography, Moscow State University (Russian Federation)
Irina	Maksimova	SAP consultant (Russian Federation)
Vladimir	Mamaev	UNDP Regional Technical Advisor
Anna S.	Mikheeva	BINM (Buryat, Russian Federation)
Valerii S.	Molotov	Head of Baikal Rosvodresursi, (Buryat, Russian Federation)
Igor	Morolodoev	EcoLeague (Buryat, Russian Federation)
Natalya Ye.	Olofinskaya	Head of the UNDP Moscow office
Mikhail	Ovdin	Head of Pribaikalski National Park (Russian Federation)
Mr	Oyungerel	Institute of Geography, Ecological Atlas of Baikal basin, Mongolia
Bilguun	Oyuntsetseg	SAP consultant (Mongolia)
Ms.	Oyuntugs	Head of the Orkhon River basin council, Baikal Information Centre, Mongolia
Dimity	Popov	PIU – Project Administration and Logistic Officer
Konstantin	Prosekin	Deputy Head of Pribaikalski National Park (Russian Federation)
Larisa	Radnaeva	PIU – Bio-resources and Data Management Expert
Anna	Romanchenko	PhD Student (Hydrology), Moscow State University (Russian Federation)
Alexandr	Shekhovtsov	PIU – Technical Director – Russia
Tumurchudur	Sodnom	PIU – Technical Director – Mongolia

Vasily	Sutula	Head of Baikal State Biospheric Natural Reserve (BSBNR) (Russian Federation)
Badrakh	Tsend	Head of the National water committee (Mongolia)
Bator D.	Tsyrenov	Executive director of Baikal preservation Fund, (Buryat, Russian Federation)
Nanami	Weisgard	UNOPS Water and Energy Cluster, Copenhagen

## Annex 4: Documents Reviewed

All project related material is available on the Project website (<http://baikal.iwlearn.org/en/project> )  
Key documents referred to for this Terminal Evaluation included.

1. Project Documents including PIF (Project Initiation Form), CEO Endorsement and UNDP ProDoc
2. Project Inception Report and workshop summary
3. PIRs
4. PSC reports
5. Management reports (selected QPRs, etc.)
6. Selected outputs from the Project actions
7. TDA and SAP
8. Baikal Atlas
9. State of the Environment Report: The Lake Baikal Basin
10. Budget reports
11. Co-financing summaries
12. Audit report
13. ToRs for consultant support
14. Brochures
15. Project videos



## Annex 5: Evaluation Matrix

### UNDP/GEF Lake Baikal – as presented in the Inception Report for this Terminal Evaluation

Evaluation Criteria	Question	Indicator	Source	Methodology
<b>Relevance: How does the project relate to the main objectives of national/regional/international authorities and the GEF Focal Area for International Waters?</b>				
Is the project relevant to the GEF IW and BD Focal Areas	<ul style="list-style-type: none"> <li>How does the project support the IW and BD Focal Areas?</li> </ul>	<ul style="list-style-type: none"> <li>Existence of clear relationship between the project objective and GEF IW Focal Area</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>GEF IW strategy</li> </ul>	<ul style="list-style-type: none"> <li>Doc analysis</li> <li>Interviews with PCU / UNEP and Mongolia/Russian Federation representatives</li> </ul>
Is the project relevant to the Lake Baikal Countries environment and sustainability objectives?	<ul style="list-style-type: none"> <li>How does the project support the environment and sustainable development objectives of the Lake Baikal countries?</li> <li>Is the project 'country driven'?</li> <li>What is the level of stakeholder ownership in implementation?</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>Degree to which project supports national environmental objectives</li> <li>Degree of coherence between project and national priorities etc.</li> <li>Appreciation from national stakeholders to project design and implementation</li> <li>Level of government involvement in the design of project</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>National Policies, priorities and strategies</li> <li>Project partners</li> </ul>	<ul style="list-style-type: none"> <li>Document analyses</li> <li>Interviews with UNDP</li> <li>Interviews with project partners and national stakeholders</li> </ul>
Is the project addressing the needs of target beneficiaries at local/national level?	<ul style="list-style-type: none"> <li>How does the project support the needs of relevant stakeholders?</li> <li>Has the implementation of the project been inclusive of all relevant stakeholders?</li> <li>Were local beneficiaries and stakeholders adequately involved in project design and implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Strength of the link between expected results from the project and the needs of relevant stakeholders</li> <li>Degree of involvement and inclusiveness of stakeholders in project design and implementation</li> </ul>	<ul style="list-style-type: none"> <li>Project partners and stakeholders</li> <li>ProDoc</li> <li>Needs assessment studies</li> </ul>	<ul style="list-style-type: none"> <li>Document analyses</li> <li>Interviews with partners &amp; stakeholders</li> </ul>
Is the project internally coherent in design?	<ul style="list-style-type: none"> <li>Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc)?</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between project expected results and project design internal logic</li> <li>Level of coherence between project design and project implementation approach</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document analyses</li> <li>Interviews with partners &amp; stakeholders</li> </ul>

Evaluation Criteria	Question	Indicator	Source	Methodology
	<ul style="list-style-type: none"> <li>Is the length of the project sufficient to achieve project outcomes?</li> </ul>			
How is the project relevant to other donor-supported activity?	<ul style="list-style-type: none"> <li>Does the GEF funding support activities and objectives not addressed by other donors?</li> <li>How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors?</li> <li>Is there coordination and complementarity between donors?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which program was coherent and complementary to other donor programming nationally and regionally</li> </ul>	<ul style="list-style-type: none"> <li>Donor representatives and documents</li> <li>ProDoc</li> </ul>	<ul style="list-style-type: none"> <li>Document analyses</li> <li>Interviews with partners &amp; stakeholders</li> </ul>
What lessons and experiences can be drawn regarding relevance for other IW projects?	<ul style="list-style-type: none"> <li>Has the experience of the project provided relevant lessons for other future projects?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected from MTE</li> <li>Information from PCU, Mongolia/Russian Federation representatives and UNDP CO/RTA</li> </ul>	<ul style="list-style-type: none"> <li>Data analyses</li> </ul>
<b>Effectiveness: To what extent have/will the expected outcomes and objectives been achieved?</b>				
Has the project been effective in moving towards achieving the expected outcomes and objectives?	<ul style="list-style-type: none"> <li>Has the project been effective in achieving outcomes?</li> </ul> <p>(Project outcomes)</p>	<ul style="list-style-type: none"> <li>(indicators from results framework)</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>PCU, Mongolia/Russian Federation representatives and UNDP CO/RTA</li> <li>Stakeholders</li> <li>PIR/APRs</li> </ul>	<ul style="list-style-type: none"> <li>Document analyses</li> <li>Interviews with project, EA and IA staff</li> <li>Interviews with partners &amp; stakeholders</li> </ul>
How is risk and risk mitigation managed?	<ul style="list-style-type: none"> <li>How well are risks, assumptions and impact drivers being managed? f</li> <li>What was the quality of risk mitigation strategies developed? Were these sufficient? f</li> <li>Are there clear strategies for risk mitigation related with</li> </ul>	<ul style="list-style-type: none"> <li>Completeness of risk identification and assumptions during project planning and design f</li> <li>Quality of existing information systems in place to identify emerging risks and other issues f</li> <li>Quality of risk mitigations strategies developed and followed</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>PCU, Mongolia/Russian Federation representatives and UNDP CO/RTA</li> <li>Stakeholders</li> <li>PIR/APR</li> </ul>	<ul style="list-style-type: none"> <li>Document analyses</li> <li>Interviews with project, EA and IA staff</li> <li>Interviews with partners &amp; stakeholders</li> </ul>

Evaluation Criteria	Question	Indicator	Source	Methodology
	long-term sustainability of the project?			
What lessons can be drawn regarding effectiveness for other IW projects?	<ul style="list-style-type: none"> <li>What lessons have been learned from the project regarding achievement of outcomes?</li> <li>What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected through TE</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>
<b>Efficiency: Was the project implemented efficiently in-line with international standards?</b>				
Was project support provided in an efficient way?	<ul style="list-style-type: none"> <li>Was adaptive management used or needed to ensure efficient resource use?</li> <li>Did the project logical framework and work plans and any changes made to them use as management tools during implementation? f</li> <li>Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information?</li> <li>Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? f</li> <li>Was project implementation as cost effective as originally proposed (planned vs. actual) f</li> <li>Did the leveraging of funds (cofinancing) happen as planned? f</li> </ul>	<ul style="list-style-type: none"> <li>Availability and quality of financial and progress reports f</li> <li>Timeliness and adequacy of reporting provided f</li> <li>Level of discrepancy between planned and utilized financial expenditures</li> <li>Planned vs. actual funds leveraged f</li> <li>Cost in view of results achieved compared to costs of similar projects from other organizations</li> <li>Quality of results-based management reporting (progress reporting, monitoring and evaluation) f</li> <li>Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency</li> <li>Cost associated with delivery mechanism and management structure compare to alternatives</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>UNDP CO/RTA</li> <li>Mongolia/Russian Federation representatives</li> <li>PCU</li> </ul>	<ul style="list-style-type: none"> <li>Document analyses</li> <li>Interviews with partners</li> </ul>

Evaluation Criteria	Question	Indicator	Source	Methodology
	<ul style="list-style-type: none"> <li>Were financial resources utilized efficiently? Could financial resources have been used more efficiently? f</li> <li>Was procurement carried out in a manner making efficient use of project resources? f</li> <li>How was results-based management used during project implementation?</li> </ul>			
How efficient are partnership arrangements for the project?	<ul style="list-style-type: none"> <li>To what extent partnerships/linkages between institutions/organizations were encouraged and supported?</li> <li>Which partnerships/linkages were facilitated? Which ones can be considered sustainable? f</li> <li>What was the level of efficiency of cooperation and collaboration arrangements? f</li> <li>Which methods were successful or not and why?</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>Specific activities conducted to support the development of cooperative arrangements between partners, f</li> <li>Examples of supported partnerships f</li> <li>Evidence that particular partnerships/linkages will be sustained f</li> <li>Types/quality of partnership cooperation methods utilized</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>Project partners and stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
Did the project efficiently utilise local capacity in implementation?	<ul style="list-style-type: none"> <li>Was an appropriate balance struck between utilization of international expertise as well as local capacity?</li> <li>Did the project take into account local capacity in design and implementation of the project? f</li> <li>Was there an effective collaboration between institutions responsible for implementing the project?</li> </ul>	<ul style="list-style-type: none"> <li>Proportion of expertise utilized from international experts compared to national experts</li> <li>Number/quality of analyses done to assess local capacity potential and absorptive capacity</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>UNDP CO/RTA</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>

Evaluation Criteria	Question	Indicator	Source	Methodology
What lessons can be drawn regarding efficiency for other IW projects?	<ul style="list-style-type: none"> <li>• What lessons can be learnt from the project regarding efficiency? f</li> <li>• How could the project have more efficiently carried out implementation (in terms of management structures and procedures, partnerships arrangements etc...)? f</li> <li>• What changes could have been made (if any) to the project in order to improve its efficiency?</li> <li>• </li> </ul>		<ul style="list-style-type: none"> <li>• Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Data analysis</li> </ul>

## Annex 6: Stakeholder interview guide

1. Name:
2. Organisation
3. Role/relationship to the Project
  
4. How has the work of the project been relevant to your country/organisation?
5. What is your perception of the interaction of the project with local/national/regional stakeholders? Were their needs met?
6. How has the project interacted with other environmental actions in the Lake Baikal Basin?
7. In your view, what have been the main achievements and lessons (positive and negative) of the project?
  
8. Do you think that the project has been effective in delivering the outputs you expected from this GEF actions? What has been the most and least effective from your perspective?
9. Have the voices of stakeholders been effectively heard by the project?
10. Do you think that the project could have delivered more and if so what extra could have been achieved?
11. Did the project effectively communicate what it was doing and its achievements?
  
12. From your perspective, has the project been efficiently managed?
13. Did you receive any expected reports on the progress of the project? Were these provided on-time?
14. Did partnerships/linkages to institutions and government (national and local) deliver good collaboration? What was good/less good in the collaboration?
15. Was there a balance between the use of international and national expertise?
16. Were the international and national/local organisations responsible for executing the project efficient at delivering the planned activities?
17. What are the remaining challenges for the SAP implementation – and how will these be overcome?
18. How will the activities of the project be supported post-project?

## Annex 7: MTE management response and actions

	MTE Recommendations	Management Response	TE Comments
1	The SAP development process should include consultations with sub-national government stakeholders, such as soum and aimag level government representatives in Mongolia. To ensure implementation of the SAP it must be integrated with the planning processes and policies of the Aimags whose territories are included in the Selenga basin. The project could support at least one round of stakeholder consultations, which should be held in the early phases of SAP development (presumably in the third quarter of 2014). If necessary the project should transfer resources from Outcome 3 to Outcome 1 to cover these activities. This could be facilitated through the environment departments of the Aimag governments.	Consultations with sub-national government stakeholders will be organized in the fourth quarter of 2014 and first quarter of 2015. Necessary resources will be transferred from Outcome 3 to Outcome 1 to cover these activities after the PSC approval on the third SC meeting in July 2014.	This consultation was undertaken and the finalised sap was presented and approved at the 2015 PSC. The SAP is awaiting formal endorsement by the two governments
2	The project should explore the possibility of providing further immediate support to the government of Mongolia for reviewing and analyzing the draft revised transboundary agreement with Russia. This approach would follow similar activities undertaken in previous donor projects in which the project supported activities such as expert legal analysis, and consultation with the Department of Justice. Being a transboundary agreement, this would be facilitated in collaboration with both the MEGD and the Ministry of Foreign Affairs. The UNDP Mongolia Country Office may be able to help facilitate such an approach.	Consultations with the Department of Justice of MEGD will be organized with the support of UNDP Mongolia Country Office and under the lead of international legal expert.	The governments did not agree to further work at this time with respect to the transboundary agreements. However they both indicated to the TE that this may be considered in future
3	The project exit strategy should be developed by the end of 2014, for approval by relevant stakeholders in early 2015. The exit strategy is necessary to clearly define roles and responsibilities to support the sustainability of project results. This would include, for example, clear agreement about the responsibility for managing and updating the BIC website.	The project exit strategy will be developed by the end of 2014	A formal exit strategy has not been prepared by the project. Letters from both governments specify key stakeholder responsibilities for the BIC. All results are available to the countries. Both countries expressed appreciation for the project and will encourage UNDP/GEF to seek a future 'SAP implementation' project
4	It is recommended that the project explore all potential opportunities to undertake additional demonstration or pilot activities in Mongolia related to integrated natural resource management. The project has thus far included relatively few practical on-the-ground activities in Mongolia, and such activities are often important for gaining stakeholder support and buy-in, and raising	Demonstration or pilot activities in Mongolia are not mentioned in the project document but this key recommendation will be raised on	The project has supported the development of two RBM Plans in Mongolia. Insufficient funds were available for new pilot actions.

	<b>MTE Recommendations</b>	<b>Management Response</b>	<b>TE Comments</b>
	awareness. This could have important dividends for the project in Mongolia, by engaging aimag and soum government stakeholders.	the third SC meeting and after consideration will be taken into account in the 2015 project workplan.	
5	The Baikal project should explore the option of collaborating with the GEF SGP in Mongolia to activate the Baikal NGO network, and potentially undertake some biodiversity-related pilot activities in Mongolia supporting IWRM management	PMU will closely collaborate with GEF SGP in Mongolia	The Project did correspond with the GEF SGP but this did not lead to further actions. The Baikal NGO network has been established.
6	The project should consider a variety of approaches to increase the chances of the two countries moving toward accepting the revised and updated transboundary water and environment management agreement. One opportunity could be to hold a media event highlighting “20 years of cooperation” on water management between Russia and Mongolia (or even 40 years, going back to the 1974 agreement). This theme could also be extended to an academic conference on the subject where participants discuss and explore current key topics related to transboundary water management for the two countries.	The Baikal project will organize a conference “20 years of cooperation” on water management between Russia and Mongolia (or even 40 years, going back to the 1974 agreement) after both government approvals.	A meeting will be organised (Oct 15) in Mongolia (supported by the project) linked to the planned plenipotentiaries meeting and the water/biodiversity commissions meetings.
7	To strengthen the current plenipotentiaries mechanism in lieu of a new joint commission the project should work with the key stakeholders and both the government of Russia and government of Mongolia to integrate the SAP actions and targets into the meetings and workplans of the current plenipotentiaries mechanism. This would help consolidate the project results and strengthen sustainability, demonstrating initial steps toward implementation of the SAP.	The Baikal project will continue supporting different activities of working group of the plenipotentiaries and meetings of plenipotentiaries as well. Developed SAP will be considered during next meeting of working group.	The project supported two additional meetings in 2015
8	Once the Baikal Information Centre (BIC) website is fully operational it should be promoted and linked to as many other relevant websites as possible, in particular the website of the MEGD in Mongolia and MNRE in Russia, as well as the websites of the environmental agencies of the Republic of Buryatia and the relevant Aimags in Mongolia. The BIC will be a great public information resource, but it is necessary to make a proactive effort to drive website traffic to the site to ensure that it becomes known to the widest possible relevant audience. This would include search-engine optimization as well, and, for example, publication of the website URL on any printed materials of the project.	According to 2014 project workplan the BIC website will be fully operational by the end of 2014. From the beginning of 2015 PMU will promote it to project stakeholders.	BIC was promoted on different meetings, conferences and presentations. The Ecological Atlas produced by the Baikal Project is a part of BIC. In 2015 it was published and promoted in very high level (Ministries, Head of three regions of Russia, the President and Prime Minister of Mongolia, top academicians of Russian and Mongolian Academy of Science, Russian and Mongolian ambassadors and etc).
9	In Mongolia the project should seek opportunities to develop the capacity of Mongolia’s watershed management institutions, i.e. River Basin Management Authorities and River Basin Councils. This could include, for example, the	The Baikal project will organize set of training to implement developed	Training workshops to implement river basin management plans that have been
















	MTE Recommendations	Management Response	TE Comments
	possibility of developing the capacity of the River Basin Councils (RBCs) to act as conduits for public and expert input to Environmental Impact Assessments (EIAs) relevant to the river basin management plans. In addition, the River Basin Management Authorities are expected to operate as key actors in implementing integrated water resource management in Mongolia, but they require training and technical capacity on IWRM issues and approaches. The River Basin Management Authorities and River Basin Councils for the Eg and Ider rivers are still being established, and thus there is a good opportunity for the Baikal project to directly contribute to the establishment of these bodies to support implementation of the river basin management plans that were developed under the Baikal project.	river basin management plans for the Eg and Ider sub-basins.	developed for the Eg and Ider basins were undertaken
10	The project should increase activity related to responsible mining in Mongolia. The project should ensure that the lessons from the biodiversity friendly mining pilot activities on the Russian-side are documented and shared with the Mongolian colleagues. In addition, the project should engage with the stakeholders in Mongolia involved with identifying and disseminating environmentally responsible best practices for the mining industry. The Asia Foundation has organized stakeholder roundtable events on this issue, and it is a critical issue for the Baikal watershed in Mongolia. The above activities would require relatively little project funding. In addition the project should explore the option of conducting environmentally responsible mining pilot projects in Mongolia (most likely in the artisanal sector), not necessarily with biodiversity funding, but with funding from the international waters portion of the project budget, or with funding from other partners, such as the GEF-SGP.	The project will share with the Mongolian the lessons from the biodiversity friendly mining pilot activities and engage with the stakeholders in Mongolia involved with identifying and disseminating environmentally responsible best practices for the mining industry.	The project has shared all outputs, lessons, etc.
11	The project should conduct an assessment of the feasibility and opportunities for citizen-based water quality monitoring networks, supporting the implementation of river basin management plans. Such a program would help more closely track water quality issues; Mongolia's rivers have a high capacity for quick self-cleaning, so if pollution or water quality issues are reported, by the time government officials are able to respond and test the water, the pollution may already be significantly diluted. Citizen-based monitoring programs also serve a dual purpose of increasing public awareness and supporting environmental education, and they can also be relatively cost-effective means of collecting basic monitoring data. Examples of such programs include the Georgia (USA) Adopt-A-Stream program	Mongolia and Russia have a governmental water quality monitoring networks. Firstly it is necessary to agree a willingness of both countries for citizen-based water quality monitoring networks. If governments are fine PMU will conduct an assessment of the feasibility and opportunities for citizen-based water quality monitoring networks.	Monitoring has been undertaken bilaterally by different institutes supported by the project and the governments.











	MTE Recommendations	Management Response	TE Comments
	( <a href="http://www.georgiaadoptastream.com/db/">http://www.georgiaadoptastream.com/db/</a> ), and Cook Inletkeeper (Alaska, USA) Citizen Environmental Monitoring Program ( <a href="http://inletkeeper.org/clean-water/citizen-monitoring">http://inletkeeper.org/clean-water/citizen-monitoring</a> ).		
12	The key technical experts from the Baikal project should participate in the inception workshop of the FAO/GEF mainstreaming project that will be starting in 2014, in order to identify all potential synergies between the two projects. One area of potential synergy may be related to Payments for Ecosystem Services, which the FAO project plans to pilot within Mongolia.	The PMU will be involved into the inception workshop of the FAO/GEF mainstreaming project.	The Mongolian PMU have been involved in various international projects to enhance co-ordination between initiatives.
13	Support information dissemination and awareness raising of key issues identified in the TDA through 1-2 page policy briefs highlighting the key points of the primary threats and issues identified in the TDA for the Baikal Basin, particularly for Mongolia. Stakeholders highlighted the fact that it is critical to continue raising awareness of high-level policy makers in understanding these complex issues.	The TDA will be distributed between wide ranges of stakeholders and public libraries by the end of 2014.	Completed
14	There is an excellent opportunity to explore and assess the feasibility of payments for ecosystem services (PES) from a transboundary perspective. There are numerous examples of successful PES for watershed maintenance around the world, but there are few or no known examples of transboundary PES. The Baikal basin has strong potential for such a scheme, since Russia is the downstream partner, and has greater resources (higher GDP, higher level of development) than Mongolia. A PES scheme could even be explored on a non-cash basis, where Russia agrees to provide technical support, or timber, or invest in development in Mongolia (specifically, for example, in the soums located ear the border) in exchange for a guaranteed level of water quality in the Selenga river as it crosses the border, or for ensuring a certain level of forest coverage in specific zones in Mongolia. It is highly unlikely that such a scheme could be piloted on a small scale before completion of the current IWRM project, but the concept should be explored, potentially with an exploratory concept paper or feasibility study, and inclusion of the idea in the SAP. Moving toward such a scheme could be globally significant.	PMU will study a way of using of transboundary PES in 2015 if budget is available and this activity will be approved by PSC.	Insufficient budget to enable this to be undertaken. It is noted that the GEF IW:LEARN will also be addressing economic valuation aspects and this could be considered within a SAP implementation follow-on project.
15	The evaluation recommends that the project keep detailed records of co-financing received from all sources. With the Russian Federal investment program in the Baikal region the project can be considered to have more co-financing than originally planned. At the same time, the number and type of co-financing partners, not just the amount of co-financing received, can be an	PMU will continue keep detailed records of co-financing received from all sources	The PMU has maintained a detailed account of the CF by year and related project component/activity




	<b>MTE Recommendations</b>	<b>Management Response</b>	<b>TE Comments</b>
	important indication of stakeholder ownership and support. Thus it would be beneficial for the project to record the range of partner organizations who have contributed any amount of cash or in-kind co-financing.		
16	The evaluation recommends that the project results framework be reviews in its entirety following this mid-term evaluation to ensure that additional changes are not required in the 2nd half of the project. In particular, the indicators for Outcome 2 are not reflective of the planned project results under this outcome.	The PSC will discuss these changes during the third SC meeting and review the result framework.	The results framework was reviewed and several minor modifications were recommended to the 3 <sup>rd</sup> PSC for approval.







## Annex 8: Assessment of Results Framework Achievements

Objective/Components/Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
<b>Objective: To spearhead integrated natural resource management of the Lake Baikal / Selenga River Basin (including Lake Hövsgöl in Mongolia), ensuring ecosystem resilience and reduced water quality threats in the context of sustainable economic development.</b>	<p>1) Baikal Basin Strategic Action Programme, including mitigation strategies to address climate change to focal species and aquatic/riparian habitat and strategies for invasive species.</p> <p>2) National Action Plans for national portions of Baikal Basin.</p>	Not completed, approved or adopted.	Completed, approved, and adopted by EoP (end of project)	During the Third SC Meeting in July 2014 the Project Board recommended to enhance SAP indicators. Ministry of Environment, Green Development and Tourism of Mongolia and Ministry of Natural Resources and Ecology of Russia recommended to include several experts into the SAP team therefore it was updated at the beginning of 2015. Also both ministries organized a set of joint SAP meetings in Ulaanbaatar and Moscow. Final SAP was prepared in June 2015 and will be endorsed in September-October 2015.	The SAP has been completed and approved by the 4 <sup>th</sup> PSC meeting. Ministries in both countries have acknowledge the SAP and that it is consistent and relevant to their work. SAP implementation is to proceed. Formal signature is expected at a meeting of the Joint Commission in Ulan Bator at the end of October 2015. But the view of vice ministers from each country is that the SAP is accepted










Objective/Components/Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
	The long-term security of aquatic biodiversity for at least three sub-basins in the transboundary Baikal Basin as measured by the # of hectares in target sub-basins under improved management.	Zero hectares in these three sub-basins have watershed management plans mainstreamed with biodiversity conservation objectives.	Target: 11,047,790 hectares Russia: Tugnuy-Sukhara basin (4,640,000 ha) Mongolia: Ider River basin (2,275,730 ha ) Egiin River basin 4,132,060 ha	Ider and Eg sub-basin management plans for Mongolia have been endorsed by Ministry of Environment, Green Development and Tourism of Mongolia. The implementation process has been started. Ider River basin (2,275,730 ha ) Eg River basin 4,132,060 ha The target has been reached.  <a href="#">010 - Eg sub-basin watershed management plan (Mongolia)</a>  <a href="#">010 - Ider sub-basin watershed management plan (Mongolia).pdf</a>  <a href="#">010 - Orkhon- Selenga sub-basin watershed management plan (Mongolia) .pdf</a>  <a href="#">012 - Tugnui-Sukhara sub-basin plan</a>  <a href="#">012 - Tugnui-Sukhara sub-basin plan - Endorsement letter 1</a>  <a href="#">011 - Khilok sub-basin plan</a>  <a href="#">011 - Khilok sub-basin plan - Endorsement letter 1</a>  <a href="#">011 - Khilok sub-basin plan - Endorsement letter 2</a>	Target achieved
	Pollution levels in pollution hot spot monitoring areas.	Mercury, other mining pollutants at elevated levels in hot spot areas. Specific levels TBD at inception.	Reduction of at least 20% in target areas by EoP.	The project has relatively few on-the-ground demonstration or pilot activities, and the project strategy is long-term, primarily focused on increasing knowledge and understanding of the Baikal watershed ecosystem(s), strengthening environmental management institutions and mechanisms, and developing the SAP to undertake future activities and efforts for improving the integrated watershed management in the Baikal basin. Once the environmentally friendly mining demonstration activities are completed there may be some site-level impacts that could be documented and attributed to the project. The closing of the Irkutsk paper mill plant will certainly have positive impact level results, though this was primarily an initiative of the Russian government, without significant contribution from the project.  <a href="#">010 - Pollution Hotspot Analysis - Mongolia</a>  <a href="#">009 - Pollution Hotspot Analysis - Russia</a>  <a href="#">Hotspot (Eng).pdf</a>  <a href="#">Hotspot (Rus)</a>  <a href="#">Hotspot (Mng)</a>	The target has been assumed to have been achieved although there is limited data to validate. The TE confirms that the assumptions on the likely reductions are realistic. The baseline data is not clear and national monitoring programmes are not routine. However it is clear that the government of Buryat has closed polluting industry as a result of this project.


Objective/Components/Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
	Ecosystem resilience parameters for Hovsgol Lake. - Nutrient concentrations: soluble reactive phosphorus (SRP) /Chlorophyll-a) - Secchi depth - Abundance and age structure of Hovsgol grayling	SRP: 0.5-2; Chl-a: 0.2-1 16-20 meters TBD first summer season of project.	Targets: SRP & Chl-a: No upward change; Secchi depth: no reduction. Abundance and age structure: maintained at baseline levels.	This indicator has been removed on the Second Steering Committee Meeting because of absence of any annual monitoring programs.	Noted
	# of productive sector policies and regulations that incorporate biodiversity management and ecosystem resilience objectives in Russian and Mongolian portions of Baikal Basin.  (Improved enabling environment for biodiversity conservation in target productive sectors of tourism, recreation and mining.)	Zero	By EoP a total of 10 policies or regulations modified to incorporate measures to conserve and sustainably use biodiversity: - Tourism: Revised and enhanced tourism plans adopted/not adopted by three target PA in Russia. - Mining: At least 2 policies modified in each country, for total of four. - Sport fishing: At least 1 regulation or policy modified by 2 protected areas in Russia. - Watershed management planning: at least one watershed management planning policy modified in each country.	15 policies or regulations have been modified: - Tourism: two tourism plans adopted and endorsed in two PA in Russia (Baikal State Nature Biosphere Reserve and Zabaikalsky National Park)  <a href="#">032 -Tourism plan for Zabaikalski Park.pdf</a>  <a href="#">065 - Cedar Alley</a> - Mining: three pilot projects in mining sites has been implemented. Policy modification recommendations have been developed. <a href="#">041 - Pilot project mining Djida Russia</a> <a href="#">042 - Pilot project mining Holodn. Russia</a> <a href="#">057 - Pilot project Holbinsky, Russia</a> <a href="#">077 - Pilot project mining (Nikolskoye)</a> - Sport fishing: Sport fishing program has been developed and tested in 2 protected areas in Russia.  <a href="#">Sport fishing program</a> - Watershed management planning: 5 watershed management plans have been prepared and endorsed.  <a href="#">010 - Eg sub-basin watershed management plan (Mongolia)</a>  <a href="#">010 - Ider sub-basin watershed management plan (Mongolia).pdf</a>  <a href="#">010 - Orkhon-Selenga sub-basin watershed management plan (Mongolia) .pdf</a>  <a href="#">012 - Tugnui-Sukhara sub-basin plan</a>  <a href="#">012 - Tugnui-Sukhara sub-basin plan - Endorsement letter 1</a>  <a href="#">011 - Khilok sub-basin plan</a>  <a href="#">011 - Khilok sub-basin plan - Endorsement letter 1</a>	Target has been achieved
















Objective/Components/ Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
				 <a href="#">011 - Khilok sub-basin plan - Endorsement letter 2</a>  - Fishing: Essential Fish Habitat (EFH ) research and fish stock assessment have been made and recommendations have been provided.  <a href="#">063 - Fish habitat.pdf</a>	
	Replication quantification measure: # of resource users applying biodiversity mainstreaming practices in mining and tourism sectors in Russia and Mongolia Baikal Basin.	Zero	At least 10 mining companies in Mongolia and 10 in Russia by EOP. At least 15 tourism companies in Russia and 15 in Mongolia by EoP	4 mining companies were involved into pilot projects implementation. More than 20 tourism companies in Russia have been involved in ecotourism sector with PA. The target has been reached. <a href="#">041 - Pilot project mining Djida Russia</a> <a href="#">042 - Pilot project mining Holodn. Russia</a> <a href="#">057 - Pilot project Holbinsky, Russia</a> <a href="#">077 - Pilot project mining (Nikolskoye)</a>	The target for mining companies has not been reached. No mining companies in Mongolia were directly involved (as there were no planned pilot projects there. Target has been exceeded for tourism companies
	Trend of Taimen and Grayling populations in two types of riverine habitat: healthy "stronghold" habitat and degraded "troubled" habitat.	Trend is stable at healthy population levels in strongholds. Egiin River Taimen: 19 individuals/km Trend is downward or stable at low population levels in troubled areas.	No change in health population dynamic. <i>i.e.</i> : Egiin River: at least 19 individuals/km  No deterioration or upward trend of at least 10% improvement.	No change in health population dynamic. Essential Fish Habitat (EFH ) research has been made and EFH maps have been prepared. Additionally fish stock assessment and recommendations have been provided.  <a href="#">063 - Fish habitat.pdf</a>	The target has been achieved
<b>Outcome 1.Stakeholders Elaborate and Adopt a strategic Policy and Planning Framework.</b>	Completed TDA by end of project yr.1	Preliminary TDA during project PPG	Agreed and jointly implemented TDA/SAP providing road map for ecosystem protection, and addressing epidemiological concerns, groundwater pollution issues and attention to high risk industrial hot spots.	The TDA has been completed. The final SAP has been prepared. The target has been reached. <a href="http://baikal.iwlearn.org/en/project/tda">http://baikal.iwlearn.org/en/project/tda</a>	The target has been achieved.

Objective/Components/Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
	Improved mainstreaming of biodiversity primary and secondary impact considerations into the EIA reporting within the Russian portion of the Basin. # of SAP implementation pilots developed for implementation in Mongolian portion of the Basin.	Biodiversity mentioned in reports but little analysis of potential impacts and no alternative steps proposed in 90% of EIA. No concepts developed.	At least 50% of the EIA reports show measurable improvement in treatment of primary and secondary impact considerations for mining and tourism development projects.	Developed EIA approaches have been implemented in different places (Dzhidinsky mining plant, Kholodninsky poly-metal deposit, Holbinsky gold mining, Nikolsky coal mine, Zabaikalsky National Park, Baikal State Nature Biosphere Reserve, Pribaikalski National Park) and organizations. (Metropol Group of companies, FSBI Zapovednoe Podlemorye, FSBI Zapovednoe Pribaikalie, FSBI Baikal State Nature Biosphere Reserve) The target has been reached.	The target has been achieved
	New policy and regulatory frameworks incorporating groundwater assessment results.	Some data available on industrial pollution hot spots and on groundwater, but with significant gaps and not linked to .		The hotspot assessment has been completed. The groundwater assessment has been completed. Policy recommendations for sustainable, integrated management of transboundary groundwater and surface water resources into country National Water Master Plan have been developed. <a href="#">010 - Pollution Hotspot Analysis - Mongolia</a>  <a href="#">009 - Pollution Hotspot Analysis - Russia</a>  <a href="#">Hotspot (Eng).pdf</a>  <a href="#">Hotspot (Rus)</a>  <a href="#">Hotspot (Mng)</a>	The target has been achieved
	Baikal Basin-Wide Pollution Hot Spot Analysis and Reporting Methodology adopted/not adopted by Joint Commission on Baikal Basin.	No such basin-wide methodology exists or adopted.	Adopted by year 2.	Baikal Basin-Wide Pollution Hot Spot Analysis and Reporting Methodology has been endorsed by working group of the institute of Plenipotentiaries formed by 1995 bilateral agreement Protection and Use of Transboundary Waters". The target has been reached.	The target has been achieved.
	Groundwater protection policy recommendations approved/not approved by the Joint Commission on Baikal Basin.	No such policies exist.	Approved by end of year 3.	Policy recommendations for sustainable, integrated management of transboundary groundwater and surface water resources were considered by working group of the institute of Plenipotentiaries formed by 1995 bilateral agreement Protection and Use of Transboundary Waters".  <a href="#">Groundwater Resources in Shallow Transboundary Aquifers in the Baikal Basin</a>	Policy recommendations have been prepared by the project and is being considered by the joint Commission working group on groundwater
	Model sub-basin Essential Fish Habitat (EFH) properly assessed and mapped.	No EFH	At least 12 EFH by year 3 of the project.	EFH have been described and EFH maps have been prepared. Additionally fish stock assessment and recommendations have been provided.  <a href="#">063 - Fish habitat.pdf</a>	The target has been achieved



Objective/Components/ Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
	# of sub-basin watershed management plans that incorporate biodiversity and ecosystem services management objectives.	None.	At least 2 by end of year 4.	<p>2 sub-basin management plans for Russia (Tugnuy-Sukhara and Khilok) and 2 sub-basin management plans for Mongolia (Ider and Eg) have been completed and endorsed by government. Orkhon sub-basin management plan for Mongolia has been updated.</p> <p><a href="#">010 - Eg sub-basin watershed management plan (Mongolia)</a></p> <p> <a href="#">010 - Ider sub-basin watershed management plan (Mongolia).pdf</a></p> <p> <a href="#">010 - Orkhon- Selenga sub-basin watershed management plan (Mongolia) .pdf</a></p> <p> <a href="#">012 - Tugnui-Sukhara sub-basin plan</a></p> <p> <a href="#">012 - Tugnui-Sukhara sub-basin plan - Endorsement letter 1</a></p> <p> <a href="#">011 - Khilok sub-basin plan</a></p> <p> <a href="#">011 - Khilok sub-basin plan - Endorsement letter 1</a></p> <p> <a href="#">011 - Khilok sub-basin plan - Endorsement letter 2</a></p>	The target has been achieved
<b>Outcome 2: Institutional strengthening for IWRM.</b>	Governments of Russia and Mongolia extend/do not extend legal status to Joint Commission on Baikal Basin.	Joint Russian-Mongolian Task Force on Transboundary Waters Use is not a legal entity.	Legal status obtained under Russian and Mongolian law by end of year 3.	<p>During the Third Steering Committee Meeting a new bilateral agreement was reviewed and transferred to both governments in 2014. The Joint Russian-Mongolian Commission on Environmental Protection and Cooperation in Environment Conservation had regular meetings in 2013, 2014, 2015.</p> <p> <a href="#">Draft New Bilateral Agreement RUS.pdf</a></p> <p> <a href="#">Draft New Bilateral Agreement MON.pdf</a></p>	The third PSC requested that this indicator should be modified /removed as this was not considered to be a priority by both countries. However the project has provided significant support to the various transboundary commissions and provided a review of an approach to enhance the current arrangements. Whilst not removed as an indicator it has also assisted in maintain the countries interest in this issue and both countries expressed their willingness to consider




Objective/Components/ Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
					aspects of the legal assessment, potentially leading to a review of the current 3 commissions in the future.
	Full-time Executive Director of Joint Commission appointed/not appointed.	No full time director of Joint Task Force.	Appointed by year 4.	The Joint Russian-Mongolian Commission on Environmental Protection and Cooperation in Environment Conservation doesn't have full time director position.	The target has not been achieved. This indicator/target is clearly based on the preceding target above
	# of National and/or regional Baikal or Selenga inter-ministerial commissions or working groups in Russia and Mongolia.	1 – the Baikal Commission in Russia.	2 additional by EoP: - A Selenga Working Group or Commission in Mongolia; - A Selenga Delta/Baikal Working Group in Buryatia	5: the Baikal Commission in Russia, the Plenipotentiaries working group in Russia, the Plenipotentiaries working group in Mongolia, the Joint Russian-Mongolian Commission on Environmental Protection and Cooperation in Environment Conservation, the National Water Committee in Mongolia	IMCs are functioning in Russia but not in Mongolia. However there are 5 'working groups and existing commission bodies that meet. At the high-level plenipotentiaries meeting the governments are represented by multiple ministries
	% improvement in knowledge of key technical aspects of ecosystem-based IWRM management in the following institutions: Baikalkumvod, Buryat regional authorities, PA of Russian Baikal; Water Authority of Mongolia, Ministry of Nature Environment and Tourism (Mongolia); # of people in staff trained in: <ul style="list-style-type: none"> <li>ecological resilience modeling</li> <li>IWRM and basin planning</li> <li>ecological monitoring and risk assessment</li> <li>EIAs, industrial site inspections</li> <li>GIS &amp; spatial planning</li> </ul>	Knowledge level TBD at beginning of each training by brief test;	At least 30% improvement for all trainees. - Baikalkumvod: At least 20 people trained. - Buryat regional authorities: at least 30 people. - PA of Russian Baikal: at least 30 people from 3 PA. - Water Authority of Mongolia; at least 20 people;	More than 50% improvement for all trainees. - Buryat regional authorities: 40 people. - Mongolia local authorities (Eg and Ider): 20 people. - PA of Russian Baikal: 50 people from 5 PA. - Ministry of Natural Resources (Russia): 40 people. - Ministry of Environment and Green Development - 20 people. -Hydrochemical laboratory (Mongolia) - 4 people. - School teacher - 50 people. - Environment protection inspectors - 100 people - Central administration of specialized inspection - 15 people - Federal Supervision Agency for Customer Protection and Human Welfare in the Republic of Buryatia - 15 people In total 354 people trained. The target has been reached.  <a href="#">015 - Communication and Public Awareness Expert in Mongolia</a>	The target has been achieved

Objective/Components/Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
	<ul style="list-style-type: none"> <li>Avoidance and containment of invasive species</li> <li>Enforcement of water quality and biodiversity regulations.</li> </ul>		<p>- Ministry of Nature Environment and Tourism (Mongolia): at least 30 people.</p> <p>In total at least 130 people trained by EoP.</p>	<p> <a href="#">016 - Communication and Public Awareness Expert in Russia</a></p> <p> <a href="#">016 - Tourist survey</a></p> <p> <a href="#">015 - Communication and Public Awareness Expert in Mongolia (Survey)</a></p> <p> <a href="#">POPs-PTSs trainings - Ulaanbaatar</a></p> <p> <a href="#">Training assessment (Russia)</a></p> <p> <a href="#">021 - (BSU) Ecological Plan</a></p> <p> <a href="#">021 - (MSU) Ecological Plan</a></p> <p> <a href="#">021 - (ZabGGPU) Ecological Plan</a></p> <p> <a href="#">061 - Training for stakeholders.pdf</a></p> <p> <a href="#">061 - Round table and training</a></p> <p> <a href="#">POPs study guide and trainings</a></p> <p> <a href="#">084 - IWRM training</a></p> <p> <a href="#">081 - Inspectors workshop</a></p> <p> <a href="#">070 - Baikal treasure workshop</a></p> <p> <a href="#">079 - Mongolian fieldwork</a></p>	
	Strengthened status of Joint Commission.	Joint Commission has no legal status or authority/capacity to do anything.	Legal status granted by Russia/ Mongolia, with first-ever executive director employed.	The Joint Russian-Mongolian Commission on Environmental Protection and Cooperation in Environment Conservation had regular meetings in 2013, 2014, 2015. Plenipotentiaries and their working groups formed by 1995 bilateral agreement "Protection and Use of Transboundary Waters" had regular meetings in 2012, 2013, 2014 and 2015. New comprehensive agreement that joins both structures has been developed and handed over to Russian and Mongolian governments.	The project has greatly assisted the functioning of the current Commissions through capacity strengthening and meeting support. Although the specific target (appointment of director) has not been met and is considered premature by both countries (see above)
	# of data parameters jointly monitored on a quarterly basis by the two countries across the Baikal Basin to enable	Zero	At least 6 by year 3.	The Harmonized water quality monitoring program for the Baikal Basin has been developed. An intercalibration of analytical procedures for analytes included into the harmonized program has been completed. At least 13 of data parameters	The target has been significantly exceeded with 30 parameters

Objective/Components/Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
	comparability of water quality and species data.			(temperature, specific conductance, pH value, suspended solids, dissolved oxygen, sulphates, calcium, sodium and potassium ion sum, nitrite nitrogen and phosphates expressed as phosphorus, magnesium, hardness, nitrate nitrogen and BOD) jointly monitored by the two countries across the Baikal Basin. About 30 parameters (ammonium nitrogen, nitrites, total iron, chlorides, nitrates, COD, petrochemicals, anionic synthetic surface active agents, heavy metals) have been harmonized. <b>15 parameters</b> See <a href="#">Annex B</a> <a href="#">Table B. 1: List of indices measured in the water samples by the Russian and Mongolian sides using commensurable analysis methodologies</a>	being monitored in a harmonized process
<b>Outcome 3: Demonstrating technologies for water quality and biodiversity mainstreaming.</b>	% by which 4 pilot mining sites reduce water pollution due to mainstreaming demonstrations.	Baseline to be set during yr 1.	At least 30% by end of year 4.	4 pilot projects in Dzhidinsky mining plant, Kholodninsky poly-metal deposit, Holbinsky gold mining, Nikolsky coal mine have been completed. According to the analysis results in Nikolsky coal mine the level of anthropogenic impact on ecological condition of the researched area can be estimated as satisfactory. Estimation of water biodiversity condition in the region as a result of developed measures of safe storage, recycling, neutralization and utilization of toxic substances, contained in wastes of Dzhidinsky mining plant was carried out. Recommendations for exploratory adit mine waters cleaning from heavy metals and their transition from sulphate and hydrocarbonate-sulphate type to near natural hydrocarbonate-calcium type were worked out. Recommendations about methods of waste / reused waste waters purification from pollutants typical for gold mining which can control threats to water ecosystem and biodiversity were drawn up. Each pilot project has a significant impact in reducing water and environment pollution. Once the mining demonstration activities are completed there may be some site-level impacts that could be documented and attributed to the project. Additionally in 2014 at Dzhidinsky mining plant the Russian government conducted different eco-system restoration activities. Both, Holbinsky gold mining site and Dzhidinsky mining plant showed considerable reducing of water pollution due to mainstreaming demonstrations (50% of 4 pilot projects) <a href="#">Q41 - Pilot project mining Djida Russia</a>	50% - the target has been exceeded

Objective/Components/ Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
				<p>RFQ/EMO/2013-041 (IWC-00078317) "Development of optimal technological solutions for safe storage, retreatment, neutralization and utilization of toxic substances, contained in waste products of inoperative mining enterprise "Dzhidinsky";</p> <p><a href="#">042 - Pilot project mining Holodn. Russia</a>  RFQ/EMO/2013-042 (IWC-00078317) "Development of technological solutions for minimization of anthropogenic impact of adit mine waters of Kholodninsky poly-metal deposit on water ecosystems"</p> <p><a href="#">057 - Pilot project Holbinsky, Russia</a>  RFQ_GPSO_2013-057 (IWC-78317) "Development of technological solutions for minimization of anthropogenic impact of ore gold mining and processing enterprises on environment "</p> <p><a href="#">077 - Pilot project mining (Nikolskoye)</a>  RFQ_GPSO_2014-077 (IWC-78317) "The demonstration best practices in siting a new mine in order to avoid soil and groundwater contamination and impacts on surface water systems."</p>	
	# of cases of anthrax diagnosed per year in Barguzinsky and Kurumkansky Districts of the Republic of Buryatia.	8 in 2009.	0 by end of project.	<p>0. The same level. Additionally a satellite analysis and identification of abandoned cattle mortuaries has been conducted. The target has been reached.</p> <p><a href="#">013 - Strategy for disposal</a>  RFQ_EMO_2012-013, "Strategy for (dead) livestock disposal"</p> <p><a href="#">058 "Pilot construction of cattle mortuary in Kurumkansky district, Buryatia, The Russian Federation</a>  <a href="#">064 "Pilot construction of cattle mortuary in Barguzinsky district, Buryatia, The Russian Federation</a>  Cattle mortuaries construction in Kurumkansky and Barguzinsky district of the Republic of Buryatia, Russia</p>	The target has been achieved
	# of eco-tourism plans approved at regional level (Oblast, Republic) in Russia-Baikal Basin with biodiversity management objectives mainstreamed. # of SAP pilot concepts developed under IW work in Mongolia.	Zero	<p>At least 3 in Russian portion of Baikal Basin by EoP.</p> <p>At least 3 Aimag-level SAP pilot concepts in</p>	<p>8 eco-tourism plans have been developed and implemented in Russian portion of Baikal Basin: Biodiversity compatible tourism plan for Baikal State Nature Biosphere Reserve; Biodiversity compatible recreational tourism plan for Zabaikalsky National Park; Biodiversity compatible tourism plan for the site of goddess Yangima representation of face on stone near Bargusinski Buddhist Temple, village Yaricto, Buriatiya, Russia;</p>	The target has been achieved

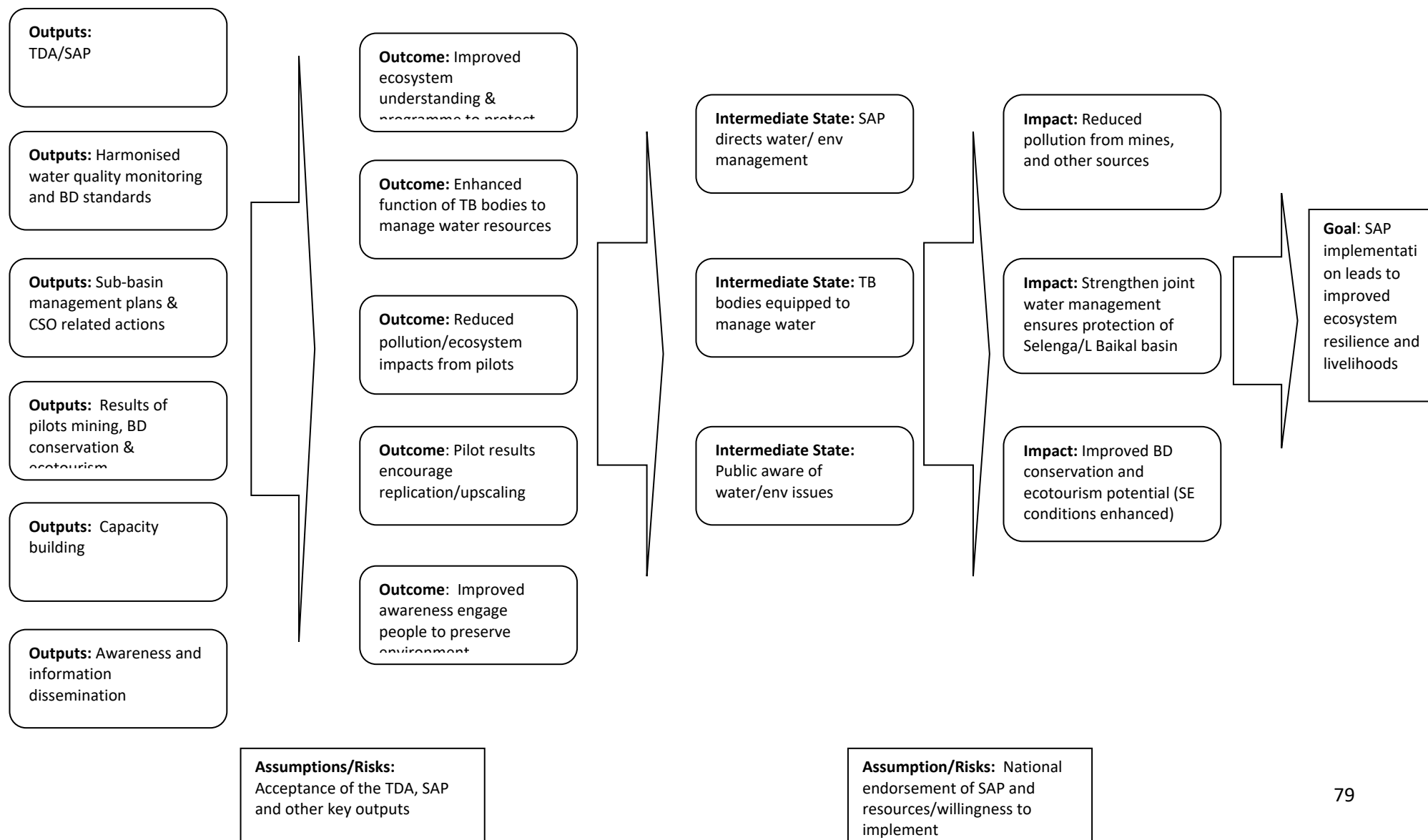
Objective/Components/ Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
			Mongolian portion by EoP.	<p>Biodiversity compatible tourism plan with a route to the seasonal haul for the Baikal seal on the island Tonkii. (Ushkanyi Islands), Buriatiya, Russia; Extension of eco-trail Cedar Alley and enhancement of biodiversity compatible comprehensive botanical tour for it in the Baikal State Nature Biosphere Reserve, Tankhoi, Buriatiya, Russia; Biodiversity compatible tourist and recreational plan for Sorozhya bay, Zabaikalsky National Park, Buryatia, Russia; Biodiversity compatible tourism plan for Khoboi cape and Reservation zone for Khankhoiskaya bank; Zapovednoe Pribaikalye protected area, Irkutskaya oblast, Russia; Development of a brand, media conception and presentation of "Pearl necklace of Baikal" (Baikal protected areas association) in Russian and English; Complex eco-travel tour for the Baikal State Nature Biosphere Reserve; SAP pilot projects prepared and documented for Mongolia. The target has been reached.</p> <p><b>#Eco-tourism plans</b></p> <p><a href="#">014 - Combined evaluation for BSNBR</a> RFQ_EMO_2012-014, «Biodiversity compatible tourism plan for Baikal State Nature Biosphere Reserve»</p> <p><a href="#">032 -Tourism plan for Zabaikalski Park</a> RFQ/EMO/2012-031 (IWC-78317) «Biodiversity compatible recreational tourism plan for Zabaikalsky National Park»</p> <p><a href="#">044 - Eco-trail Yangima</a> RFQ/EMO/2013-044 (IWC-00078317) Biodiversity compatible tourism plan for the site of goddess Yangima representation of face on stone near Bargusinski Buddhist Temple, village Yaricto, Buriatiya, Russia</p> <p><a href="#">045 - Eco-travel tour BSNB Reserve</a> RFQ/EMO/2013-045 (IWC-00078317) «Complex eco-travel tour for the Baikal State Nature Biosphere Reserve»</p> <p><a href="#">062 - Uskhanii islands, eco-tourism plan</a> RFQ_GPSO_2013-062 "Biodiversity compatible tourism plan with a route to the seasonal haul for the Baikal seal on the island Tonkii. (Ushkanyi Islands), Buriatiya, Russia»</p>	

Objective/Components/Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
				<p><a href="#">065 - Cedar Alley</a> RFQ_GPSO_2013-065 (IWC-78317) "Extension of eco-trail "Cedar Alley" and enhancement of biodiversity compatible comprehensive botanical tour for it in the Baikal State Nature Biosphere Reserve, Tankhoi, Buriatiya, Russia »</p> <p><a href="#">080 - Sorozhya bukhta</a> RFQ_GPSO_2014_080 (IWC-78317) Biodiversity compatible tourist and recreational plan for Sorozhya bay, Zabaikalsky National Park, Buryatia, Russia</p> <p><a href="#">082 - Khoboi cape, Khankhoiskaya bank</a> RFQ_GPSO_2014_082 (IWC-78317) Biodiversity compatible tourism plan for Khoboi cape and Reservation zone for Khankhoiskaya bank; "Zapovednoe Pribaikalye" protected area, Irkutskaya oblast', Russia.</p> <p><b># of SAP pilot concepts developed under IW work in Mongolia.</b></p> <p>Strategic Action Programme</p> <p> <a href="#">LB SAP English</a></p> <p> <a href="#">LB SAP Russian</a></p> <p> <a href="#">LB SAP Mongolian</a></p>	
	Increase in investment in sustainable ecotourism over life of the project in pilot PA within the Baikal Basin	2010 fiscal year will be the Baseline to be confirmed at project inception.	At least an increase in US\$10 million by end of Project over baseline levels.	<p>In 2012 The State Baikal Biosphere Reserve has got 37 700 000 RUB ~ \$1 216 129.03 USD In 2013: - Tunkinski National Park - 32 100 000 RUB ~ \$1 035 483.87 USD - Zabaikalski National Park 3 900 000 RUB ~ \$125 806.45 USD - State Baikal Biosphere Reserve - 52 300 000 RUB - \$1 687 096.77 USD - Baikalo-Lenski Reserve 8 100 000 RUB ~ \$261 290.32 USD Additionally for eco-tourism development for different PA: 2012 - 13 400 000 RUB ~ \$432 258.06 USD 2013 - 16 300 000 RUB ~ \$525 806.45 USD</p> <p>In 2013 - The State Baikal Biosphere Reserve 90 000 000 RUB ~ \$2 500 000.00 USD - Tunkinski National Park - 32 100 000 RUB ~ \$891 666.00 USD - Other PA - 16 300 000 RUB ~ \$525 806.45 USD In 2014 - Tunkinski National Park - 90 000 000 RUB ~ \$2 500 000.00 USD</p>	The target has been exceeded (2012 – 6.45M\$; 2013 – 3.92 M\$; 2014 – 6.24 M\$). With an estimated increase of 16.61 M\$

Objective/Components/Outcomes	Indicator	Baseline	Target	PCU's assessment of achievement	Evaluator's comments
				In 2014 - The State Baikal Biosphere Reserve -114 283 800 RUB ~ \$3 265 000.00 USD - Tunkinski National Park 58 426 900 RUB ~ \$ 1 669 340 USD - Zabaikalski National Park 45613100 RUB ~ \$ 1 303 231 USD	
	# of website hits made by Baikal region and Russian/Mongolian stakeholders accessing the Baikal Information Center website.	Zero	Increasing levels during years 2-4 of the project of at least 10% year over year.	Baikal Information Center website has been launched and maintained. <a href="http://bic.iwlearn.org">http://bic.iwlearn.org</a> # of Baikal Information Center website hits 2013 ~ 1200 hits, 2014 ~ 2000 hits 2015 ~ 3000 hits. Increasing levels during years 2-4 of the project was about 50% year over year.	The target has been exceeded
	# of organizations around the Baikal region using the first of an annual "State of the Baikal-Hovsgol Basin" report in Russian, Mongolian and English (Universities, Libraries, Local and National government offices, Management entities and Schools) in Russian and Mongolian portions of the Baikal Basin.	Report does not yet exist.	Published by EoY 4. At least 90 distributed to 30 institutions by EOP; At least 20 downloads of PDF file by country per year.	Report has been prepared and published. The target has been reached.	The target has been achieved
	# of km of Baikal shoreline and tributary rivers cleaned of litter/solid waste; # of news articles published on this cleaning work around Lake Baikal.	0  0	50 by EoP  20 by EoP	More than 100 km, more than 200 media sources. The target has been reached. e.g.: <a href="http://baikal.iwlearn.org/en/results/shoreline-clean-up-russia">http://baikal.iwlearn.org/en/results/shoreline-clean-up-russia</a>  <a href="http://baikal.iwlearn.org/en/events/clean-ice-of-baikal">http://baikal.iwlearn.org/en/events/clean-ice-of-baikal</a>  <a href="http://baikal.iwlearn.org/en/results/2012-shoreline-clean-up-of-hovsgol-lake">http://baikal.iwlearn.org/en/results/2012-shoreline-clean-up-of-hovsgol-lake</a>  <a href="http://baikal.iwlearn.org/en/project/project-tender-reports-2012/035%20-%20Shoreline%20cleanup.pdf/view">http://baikal.iwlearn.org/en/project/project-tender-reports-2012/035%20-%20Shoreline%20cleanup.pdf/view</a>  <a href="http://baikal.iwlearn.org/en/results/2013-shoreline-clean-up-campaigns-in-mongolia">http://baikal.iwlearn.org/en/results/2013-shoreline-clean-up-campaigns-in-mongolia</a>  <a href="http://baikal.iwlearn.org/en/project/project-tender-reports-2012/066-baikal-and-selenga-shoreline-cleanup/view">http://baikal.iwlearn.org/en/project/project-tender-reports-2012/066-baikal-and-selenga-shoreline-cleanup/view</a>	The target has been achieved



## Annex 9: Review of Outcomes to Impacts (ROtI)



Expected Main Outputs	Expected Outcomes	Rating (D-A)	Drivers and Assumptions	Intermediate States	Rating (D-A)	Anticipated likely Impacts	Evidence of Impacts	Overall Rating
• TDA/SA	Improved ecosystem understanding & programme to protect the Lake Baikal ecosystem	A	Acceptance of the TDA, SAP and other key outputs  National endorsement of SAP and resources/willingness to implement	SAP directs water ecosystem management approaches in the Lake Baikal Basin	A	SAP implementation leads to improved ecosystem resilience and livelihoods of the inhabitants of the Lake Baikal Basin	+	AA
• Harmonised water quality monitoring and BD standards	Enhanced function of TB bodies to manage water resources	A		Transboundary bodies better equipped (capacity, methods, etc.) to manage water and ecosystem	A	Reduced pollution from mines and other industrial sources	+	AB
• Sub-basin management plans & CSO related actions	Reduced pollution/ecosystem impacts from pilots Pilot results encourage replication/upscaling	B				Strengthen joint water management ensures protection of Selenga/L Baikal basin	+	BB
• Results of pilots mining, BD conservation & ecotourism				Public awareness increased on water and ecosystem issues with increased regional tourism as a result	A	Improved biodiversity conservation and ecotourism potential (SE conditions enhanced)	+	BA
• Capacity building	Improved awareness engage people to preserve environment	B						
• Awareness and information dissemination								
Overall Rating							+	AB

## Rating scale for outcomes and progress towards ‘intermediate states’

Outcome Rating	Rating on progress toward Intermediate States
D: The project’s intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a ‘+’ notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

Table 2. Shows how the ratings for ‘achievement of outcomes’ and ‘progress towards intermediate states translate to ratings for the ‘Overall likelihood of impact achievement’ on a six point scale.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

## Annex 10: Evaluation Consultant Code of Conduct and Agreement Form

### ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

#### Evaluators:

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

#### Evaluation Consultant Agreement Form<sup>7</sup>

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

Name of Consultant: Peter Whalley

Name of Consultancy Organization (where relevant): N/A

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

Signed at *Malmesbury, UK* on *20<sup>th</sup> October 2015*;

Signature: 

<sup>7</sup> [www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)