

MIDTERM EVALUATION

Flood Resilience in Ulaanbaatar Ger Areas, February 2019 – February 2021



FINAL REPORT

Ulaanbaatar, Mongolia

July 2021

DISCLAIMER

This document has been prepared under the terms of the Midterm Evaluation for Flood Resilience in Ulaanbaatar Ger areas project implemented by UN-Habitat

The content of this document is the sole responsibility of the evaluator and can in no way be taken to reflect the views of the UN-Habitat. This document is prepared solely for the use and benefit of the beneficiary country of Mongolia and the Contracting Authority, the UN-Habitat, and neither the consortium led by Stantec, nor the authors accept or assume any responsibility or duty of care to any third party.

The designations employed and the presentation of the material in this publication do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries.

Views expressed in this publication do not necessarily reflect those of the United Nations Human Settlements Programme, the United Nations, or its Member States.

Excerpts may be reproduced without authorization, on the condition that the source is indicated.

©Yansanjav Ochirsukh 2021

Acknowledgements

Author: Yansanjav Ochirsukh

Cover Page: Project Logo © UN-Habitat Mongolia.

Others: © UN-Habitat Mongolia, and

©Ochir Consulting Ltd.

Report Title	Final Report
Version	Version 02
Date	July 31, 2021
Prepared By	Ochirsukh Yansanjav, Evaluator
Reviewer	Mr. Martin Barugahare, Chief, UN-Habitat Independent Evaluation Unit

1. EXECUTIVE SUMMARY

In September 2018 UN-Habitat signed an agreement with the Adaptation Fund to implement the project on Flood Resilience in Ulaanbaatar Ger-Areas (FRUGA) - Climate Change Adaptation through community-driven small-scale protective and basic services interventions – in the seven most-vulnerable and high-risk ger-areas of Ulaanbaatar city of Mongolia with USD \$4.5 million total budget. The project implementation started 28 February 2019 and will be completed in February 2023. The key national partners are the Municipality of Ulaanbaatar city including its line agencies and target district and khoroo administrations, Ministry of Environment and Tourism of Mongolia and beneficiary communities.

The main objective of the project is to enhance the climate change resilience of the seven most vulnerable Ger khoroo settlements focusing on flooding in Ulaanbaatar City by:

1. Improving the knowledge on flood hazard and risk exposure and vulnerability for these areas
2. Improving the resilience and adaptive capacity of the Ger settlements through a Community-Based gender-responsive approach (i.e. building social cohesion per Khoroo)
3. Increasing resilience Ger area physical infrastructure and services, supported by enhanced capacities of responsible district level and khoroo authorities.
4. Strengthened institutional capacity to reduce risks and capture and replicate lessons and good practices

The Midterm Evaluation (MTE) was intended to a) provide evidence on whether the project is on track towards achieving its objective and expected accomplishments (outcomes); b) enhance learning and identify constraints and challenges which may need corrective measures and improvement.

The evaluation covered the project implementation period from February 2019 to June 2021. The project components are evaluated against the results criteria: relevance, effectiveness, efficiency, impact, and sustainability.

The mid-term evaluation utilized a desk review of project documents, monitoring data, questionnaires, focus group discussions and structured interviews with key informants to collect data. Key informants were identified through stakeholder mapping and were selected based on their role and involvement in the project activities to date.

Key findings/ Results of the evaluation

Relevance	The main objective of the project is to enhance the climate change resilience of the seven most vulnerable Ger khoroo settlements focusing on flooding in Ulaanbaatar City. The project objective, expected outputs and outcomes have not changed and the project's rationale is still valid and very relevant as challenges and vulnerabilities faced by target communities have been increasing as a result of the social and economic impacts of COVID-19. Additionally, the project is strongly aligned with the Mongolia's National Development Strategy, the Nationally Determined Contribution, National Action Programme on Climate Change (NAPCC), the Green Development Policy 2014-2030, 2010 National Programme on Water, National Programme on Environmental Pollution Reduction 2017, Flood Risk Assessment and Flood Risk Management Strategy (FRMS) of Ulaanbaatar City and Ulaanbaatar 2020 Master Plan and Development Approach for 2030. Also, the project remains highly relevant with the new policy documents of the country which are currently in effect and developed after the project start.
Effectiveness	The assessment and rating of the progress towards outcomes show that the deliveries of the outputs are on track with overall satisfactory rating while contributing gradually

to the accomplishment of the project outcome and objectives as proposed in the project document. This suggests that project management has been effective and People's Process approach applied for the community involvement has been instrumental. The concept of 'People's Process' refers to the approach of community mobilisation and organisation, followed by community action planning and community contracting, all of which rely on community-led activity for empowerment of the community. The thinking behind this approach is that those communities that take charge of their own situation will make informed decisions, reach sustainable solutions, achieve better results faster, own the processes and the results, and at the same time enhance their collective capacity to undertake development initiatives. No major weaknesses in the design, implementation, and reporting of the project have been observed. The achieved level of output performances indicates the good rates of effectiveness and efficiency of the project implementation. Covid restrictions, elections in 2020 and 2021, restructuring and staff turnover in the target district and khorroos were the main factors that affected the project implementation.

Efficiency

The project's overall performance is rated good. The project activities have been implemented in a cost-efficient and timely manner. In terms of the project performance against the work plan and budget, Components 1 and 3 appear to be the highest performing components. Component 3 has provided a high level of tangible outputs in terms of flood facilities as 60% of flood facilities were constructed and already started providing the flood protection to the affected areas. Community mobilization component under Component 2 and community implementation component under Component 3 are found to be a bit lagging compared with the target due to the Covid restrictions and Post Covid economic impacts, so need to be reinforced. Furthermore, the project has been comprehensive in its consideration and application of ESS and Gender Policy. The project faced a number of challenges which affected the project implementation such as 4 full and several partial lockdowns in the city due to Covid outbreak, election periods in 2020 and 2021, restructuring and turnover of the staff at the city, district and khoroo levels, market shortage and cost increase of the construction materials and so on.

To prevent or reduce the potential impact and delays the project used adaptive approaches including the business continuity plan during the Covid outbreak, online arrangements of meetings and trainings, design improvements of drainage and sanitation with consideration of ground situation, and special needs of beneficiary households.

Impact

It was discovered that the impact of the project within the context of flood risk reduction and resilience building is already prominent as an essential self-help community structure has been established, 3 flood protection facilities and 243 flood resilient toilets were constructed and are functional now. Other positive results are further expected as prior to the project interventions, no community structure was existed to support and address flood problems at the community level and no flood risk information was available for public use.

According to the interviews with the affected communities, the communities have applauded and much appreciated that the interventions came at the right time and helped address the persisting flooding problems in their lives. Also, the interviews and focus groups discussions revealed that the communities much appreciated the

training and awareness building activities for climate change and DRR, preparedness, and resilience building.

Sustainability The project was designed around a strong element of sustainability contributed by the community-led approach. It is supposed to leave behind a well-developed community organisational structure in the project areas and act as a catalyst in embedding the community-led approach in the implementation of government programmes in ger area climate change and flood resilience building.

The evaluator examined the sustainability issues by looking at: (1) the sustainability of the project results, (2) the newly established community and its capacity to continue after the project, and (3) a replication of the similar interventions for flood resilience building in other ger areas.

Conclusions

The overall project implementation was assessed with the rating 4.4 out of 5 score.

The project implementation is on track towards the planned achievements without a major delay and constraints. The project was successful so far in flood resilience building in the target areas and there are already noticeable positive results. The People's Process approach applied for the project implementation has been very instrumental for involvement of the beneficiary communities as one of the key executing entities and helped to develop a community structure that can carry on the resilience building activities at the community level beyond the project with support from the local government.

No major weaknesses in the design, implementation, and reporting of the project have been observed. The achieved level of output performances indicates the good rates of effectiveness and efficiency of the project implementation.

Challenges and Lessons Learned

- The project implementation has been put under a risk of a potential delay by the restrictions in organizing community meetings, trainings, field works, workshops and the ban on international travel since 27 January 2020 imposed by the Mongolian Government to manage the COVID-19 situation. There were citywide and partial lockdowns (1st citywide lockdown was in March 2020, 2nd in November 2020 for two months, 3rd in February 2021 and 4th in Apr-May 2021). During these periods the staff had to work from home and arrange for online activities. In addition to the restrictions, the outbreaks of new mutations of Covid-19 have been challenge for the project team time to time. Some of team members were infected with and recovered from covid to date.
- During the Covid-19 restrictions the community mobilization and organization took longer than anticipated as the social mobilisers were not able to come to the field to organize community meetings. Online meetings were conducted but they were not that useful compared with in-person meetings. The lingered community mobilisation and organisation has also resulted in prolongation of the construction of resilient toilets by communities.
- The construction of the improved toilets by the beneficiary communities has played an important role in social mobilization of the selected ger area residents and integrating people for working and living together as community. Thanks to this activity people are getting to know each other which helps them work more closely for their flood resilience building.
- The construction activities especially the resilient toilets construction by communities have been affected by Covid restrictions, periods with increased Covid cases and lately by the cost increase and availability problems of the construction materials due to the border restrictions by

neighbour countries. This was resulted in gradual increases of the unit cost and delays in toilet improvement activities.

Recommendations

- UN-Habitat's further support and interventions as an UN agency would be very important for integration of the urban impacts of the climate change into national and sectoral policies and implementation of demonstration projects for climate change adaptation and resilience building in urban areas including Ulaanbaatar, provincial centers and other settlements.
- UN-Habitat support is further required for the established community organizations in their recognition and formalization by the local authorities to let them participate in the decision-making processes of the local and national governments as part of the climate change, DRR, preparedness and response mechanisms.

Table of contents

1. EXECUTIVE SUMMARY	3
1. INTRODUCTION	10
1.1 CONTEXT AND OVERVIEW OF THE PROJECT	10
1.2 EVALUATION MANDATE, PURPOSE AND OBJECTIVES	12
1.3 EVALUATION SCOPE AND FOCUS	13
1.4 EVALUATION METHODOLOGY AND LIMITATIONS	13
1.4.1 APPROACH.....	13
1.4.2 METHODS	14
1.4.3 LIMITATIONS OF THE EVALUATION	14
2. KEY FINDINGS	14
3. EVALUATION RESULTS BY CRITERIA	16
3.1 RELEVANCE	16
3.1.1 RATIONALE OF THE PROJECT AND ITS OBJECTIVES	16
3.1.2 THE RELEVANCE OF THE OBJECTIVES OF THE PROJECT TO THE NATIONAL AND GLOBAL PRIORITIES	16
3.2 EFFECTIVENESS	17
3.2.1 ACTUAL OR EXPECTED ACHIEVEMENT OF THE RESULTS AT THE TIME OF MIDTERM EVALUATION	17
3.2.2 FACTORS AND PROCESSES AFFECTING THE ACHIEVEMENTS OF THE RESULTS	19
3.2.3 EFFECTIVENESS OF THE INSTITUTIONAL ARRANGEMENT OF THE PROJECT	19
3.2.4 INTEGRATION OF CROSS-CUTTING ISSUES	20
3.3 EFFICIENCY	21
3.3.1 ACTION PROGRESS AGAINST THE WORK PLAN, BUDGET AND OVERALL PERFORMANCE	21
3.3.2 DELIVERY OF ACTIVITIES AND OUTPUTS IN COST-EFFICIENT AND TIMELY MANNER.....	21
3.3.3 IMPLEMENTATION AND ADAPTIVE MANAGEMENT	23
3.4 IMPACT	23
3.4.1 IMPACTS AT THE COMMUNITY LEVEL	23
3.4.2 IMPACT AT THE LOCAL AND NATIONAL GOVERNMENT LEVEL	24
3.5 SUSTAINABILITY	25
3.5.1 FACTORS AFFECTING OR LIKELY TO AFFECT THE SUSTAINABILITY OF THE RESULTS	25
3.5.2 ESTABLISHED INSTITUTIONAL FRAMEWORK AND PARTNERSHIP AMONG THE KEY STAKEHOLDERS INCLUDING COMMUNITIES, LOCAL AND NATIONAL GOVERNMENTS	26
4. CONCLUSIONS	26
5. CHALLENGES AND LESSONS LEARNED	26
6. RECOMMENDATIONS	27
7. ANNEXES	29
ANNEX 1: TERMS OF REFERENCE	29
ANNEX 2: LIST OF PEOPLED INTERVIEWED AND CONSULTED	35

ANNEX 3: WORK PLAN	37
ANNEX 4. EVALUATION MATRIX	38
ANNEX 5. DETAILED EVALUATION METHODOLOGY	39

Figures

Figure 1. Theory of Change	12
Figure 2. Project Organogram.....	20
Figure 3. Flood Resilient Toilet Construction by Beneficiary Communities.....	22
Figure 4. Stakeholders’ Participation in Training and Consultations	25

Tables

Table 2.Improved toilets constructed by 30 June 2021.....	22
---	----

Abbreviations and Acronyms

AF	Adaptation Fund
AFB	Adaptation Fund Board
CAP	Community Action Planning
CDC	Community Development Council
CIA	Community Implementation Agreement
DSWG	District Sub-Working Group
EE	Executing Entity
KI	Key Informant
KII	Key Informant's Interview
M&E	Monitoring and Evaluation
MUB	Municipality of Ulaanbaatar City
MoET	Ministry of Environment and Tourism
NGO	Non-governmental organization
Khoroo	Sub District - the smallest administrative unit in a district
ROAP	Regional Office for Asia and the Pacific (of the UN-Habitat)
PIU	Project Implementing Unit
PEU	Project Executing Unit
PWG	Project Working Group
TOR	Terms of Reference
UN-Habitat	United Nations Human Settlement Programme
UNOPS	United Nations Office for Project Service
USD	United States Dollars
WASH	Water, sanitation and hygiene

1. Introduction

The United Nations Human Settlements Program, UN-Habitat, is the United Nations agency for human settlements. It is mandated by the UN General Assembly to promote socially and environmentally sustainable communities, towns, and cities with the goal of providing adequate shelter for all. By working at all levels and with all relevant stakeholders and partners, UN-Habitat contributes to linking policy development and capacity-building activities with a view to promoting cohesive and mutually reinforcing social, economic, and environmental policies and programs in human settlements in conformity with international practices and covenants.

UN-Habitat has been collaborating with the Government of Mongolia, the Ministry of Construction and urban Development (MCUD) and the Municipality of Ulaanbaatar (MUB) on strategies and demonstration projects for slum upgrading, and human settlements development since 2005. The agency assisted the municipality in formulating a community-based ger-area upgrading strategy, developing action plans and demonstrated a community-led approach to ger-area upgrading in five ger-areas in Ulaanbaatar city with support from Japan. More recently UN-Habitat been involved as a key partner on community engagement through the People's Process for the Urban Services and Ger Area Development and Investment Programme as well as the Affordable Housing and Urban Renewal Programme of the Government of Mongolia, implemented with support from the Asian Development Bank.

1.1 Context and Overview of the Project

As a consequence of increased warm summer days and nights in Central Mongolia, where Ulaanbaatar, the capital city of Mongolia is located, there has been more frequent flooding in the city. As indicated by the Flood Risk Assessment (FRA) study conducted in 2014 that looked at 35 floods that occurred within the period of 1915-2013, 60 percent of these floods took place within the decade of 2000-2010. The study states that 50 percent of these floods were of 'alluvial' type, occurring due to water flow and run-off from mountain slopes and along dry riverbeds. Besides that, Ulaanbaatar suffers from flash floods and ground water flooding. The 2003 flash floods for instance, killed 15 people, made 30 families homeless and destroyed 93 houses. The Ger areas are hit hardest by all types of floods. Flood issues are likely to increase in poor, unplanned ger areas that expand fast, mostly at the north-side of the city. Ulaanbaatar is located in the Tuul river valley, an arm of the Selenge river. Arms of the Tuul river are Selbe, Uliastai and Tolgoit streams which run down from the north and ends in the Tuul at the southside of the city. The city is surrounded by hills and many Khoroo (sub-district) stretch into valleys, mainly to the north, which means that these Khoros have hills on either side.

The Flood Risk Assessment and Management Strategy of Ulaanbaatar City supported by the World Bank, specified the most vulnerable target settlements for hazard and risk mapping and the production and improvement of adaptive infrastructure, which were: (1) Tolgoit zuunsalaa, (2) Mon Laa (3) District III, IV flood control levee (4) Selbe river (5) Gorkhi and (6) Baatarkhairkhan Uliastai river. These are located on the territories of i) 12, 13, and 14th khoros of Sukhbaatar district; ii) 21, 27, 8, 23rd khoros of Bayanzurkh district; iii) 25, 7th khoros of Songinokhairkhan district; and iv) 9th khoroo of Bayangol district.

Further consultation with Governor's and the three (3) district authorities of SonginoKhairkhan, Sukhbaatar and Bayanzurkh districts identified 7 khorooos (sub-districts) as the most vulnerable in terms of either being impacted by floods or areas from which run-off takes place on a frequent basis. These districts fall amongst the biggest in terms of population size and the fastest growing in Ulaanbaatar. The 7 Khorooos have a total population of 88,839. In the khoroo areas, in summer, when ice melts and rain falls, water comes down from the northern hills, leading to floods around gully's and rivers. These floods affect houses, other assets, and lead to overflow of latrines, heavily polluting water and soil, which in turn lead to increased incidents of disease often affecting children. Extreme flood incidents are also increasingly recorded in Ulaanbaatar, not only destroying houses and assets, but also causing death. This is especially relevant in Khoroo (i.e community) 24, where new informal settlers have started to move into the riverbed. In the downhill / lower-lying Khorooos, another problem besides floods is stagnant water build-up and rising groundwater. This stagnant water, which is polluted due to overflow of the latrines, often from upstream, can stay for months and impedes the mobility of residents and access to critical services, with cars, ambulances, fire trucks, etc. not being able to enter the Khoroo. After the summer, the stagnant and polluted water freezes to then melt again in summer. From a technical perspective, the situation is aggravated by non-existent or not properly designed drainage systems and low-quality and basic design latrines that do not take into account flood risks. Besides that, there is limited awareness of flood risk zones and health risk so people build their houses in the middle of the river or in the path of gullies. Moreover, pit latrines are sometimes emptied on the street.

In September 2018 UN-Habitat signed an agreement with the Adaptation Fund to implement the project on Flood Resilience in Ulaanbaatar Ger-Areas (FRUGA) - Climate Change Adaptation through community-driven small-scale protective and basic services interventions – in the seven most-vulnerable and high-risk ger-areas of Ulaanbaatar Mongolia. The total budget is \$4.5 million, and the project is planned to be implemented from Feb 2019 through Feb 2023.

The key national partners are the Municipality of Ulaanbaatar city including its line agencies and target district and khoroo administrations, Ministry of Environment and Tourism of Mongolia and beneficiary communities.

The main objective of the FRUGA project is to enhance the climate change resilience of the seven most vulnerable Ger khoroo settlements focusing on flooding in Ulaanbaatar City by:

1. Improving the knowledge on flood hazard and risk exposure and vulnerability for these areas
2. Improving the resilience and adaptive capacity of the Ger settlements through a Community-Based gender-responsive approach (i.e. building social cohesion per Khoroo)
3. Increasing resilience Ger area physical infrastructure and services, supported by enhanced capacities of responsible district level and khoroo authorities.
4. Strengthened institutional capacity to reduce risks and capture and replicate lessons and good practices

The main component of the project is the provision of flood resilient physical infrastructure and services, building on the priorities as communicated by the UB city authorities and Khoroo communities, both women and men; evidence made available and supplemented with hazard and

risk mapping and land use planning; and delivered within the framework of enhanced capacities and awareness for resilience and risk reduction at Ger -district and community level.

The Theory of Change illustrated in the Figure 1 was used to assess the results of the project.

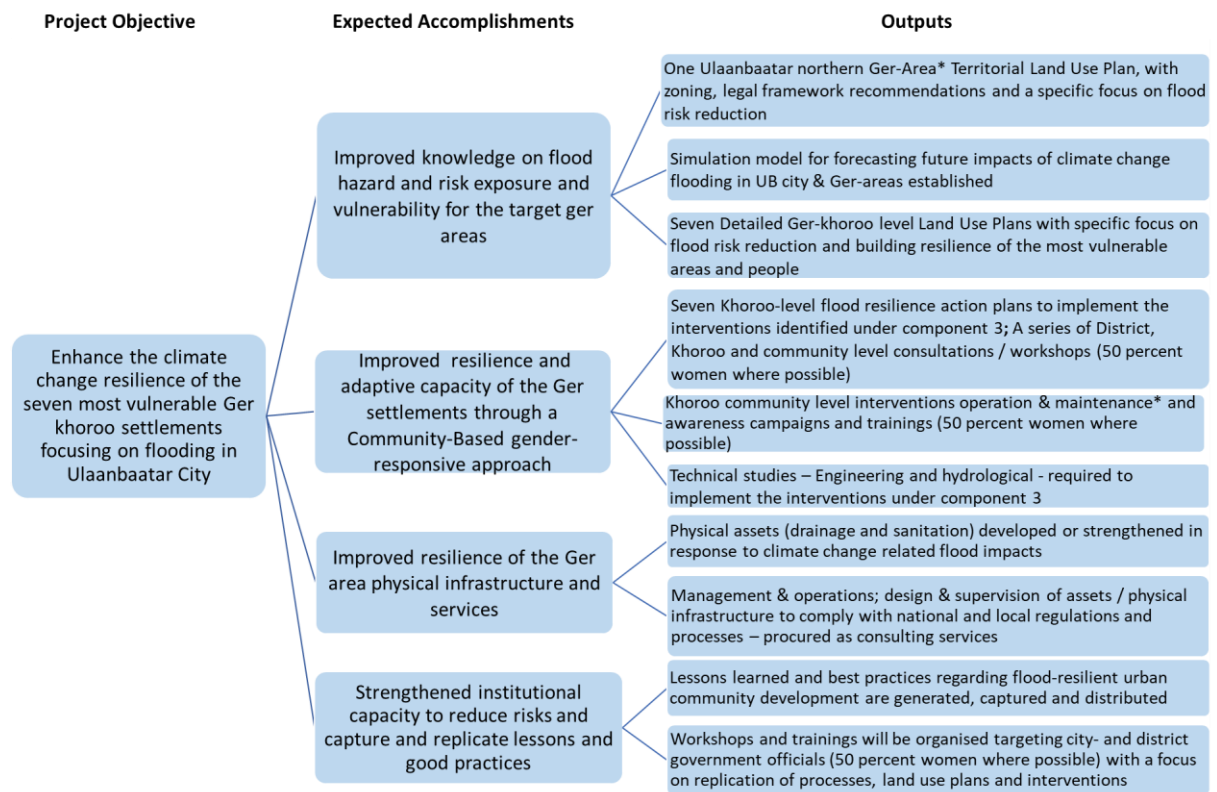


Figure 1. Theory of Change

1.2 Evaluation mandate, purpose and objectives

The Midterm Evaluation (MTE) is mandated by both the donor and UN-Habitat as per the Agreement between AFB and UN-Habitat. It serves both accountability and learning objectives. It is intended to:

- provide evidence on whether the project is on track towards achieving its objective and expected accomplishments (outcomes);
- enhance learning and identify constraints and challenges which may need corrective measures and improvement.

The evaluation will therefore be formative, focusing more on functioning of the project processes, to understand how the project is being implemented and producing its outputs and results.

Based on the findings of the MTE, actionable programmatic recommendations will be given to improve delivery of the project for the remaining period of the project.

The key audiences of the evaluation are the project team, UN-Habitat, AFB, executing entities and other project partners.

The evaluation aims to:

- Assess the performance of the project in terms of its progress towards the achievement of results at objective, expected accomplishment and output levels.

- Assess the relevance, efficiency, effectiveness, impact, sustainability in building flood resilience in Ger areas of Ulaanbaatar city
- Assess the appropriateness of planning, adequacy of resources, project management modalities, working arrangements and partnerships and how they may be impacting on the effectiveness of the project.
- Assess how cross-cutting issues such as gender equality, youth and human rights, environment and social safeguards have been integrated in the project;
- Identify areas of improvement, lessons learned and recommend forward-looking strategic, programmatic and management considerations to improve performance of the project for the remaining period of the project.

1.3 Evaluation Scope and Focus

The evaluation covered the period from February 2019 to June 2021 and focused mainly on processes, assessing achievements of outputs and expected accomplishments so far, identify and analyze constraints, challenges, and opportunities.

1.4 Evaluation Methodology and Limitations

1.4.1 Approach

The evaluation used a results-based approach. It was conducted by an independent evaluation consultant and carried out following the evaluation norms and standards of the United Nations System. Evaluation criteria guided the evaluation process. The Theory of Change was used to assess the results of the project and provide information in relation to the expected accomplishments.

The evaluation consultant also used a participatory approach with a view to include all key stakeholders and vulnerable communities and key affected population in addition to the review of key reports/documents.

Based on the five standard evaluation criteria and evaluation questions of the TOR, the following aspects were carefully examined and consulted with project stakeholders and beneficiaries during the data collection phase.

- Project (solutions) design – designed strategically and implemented logically?
- Efficient implementation – project modality in mobilizing, establishing and running the local community structures for success and its added value.
- Key achievements of the project so far – what made target population appreciate the most?
- Community engagement - consultation processes and how the solutions are addressed through the course of the project implementation towards local ownership?
- Policy contribution - the project intends to generate information and knowledge on flood hazards and risks and reflect the information into the land use plans thus reduce the flood risk, therefore, it's crucial to look at specific contributions delivered by the project?
- Importance of investment in building community system: local initiatives to introduce and strengthen community resilience systems as these are essential to adapt and prevent from hazards of climate and disasters.
- Cross-cutting: human rights, gender and inclusiveness that have been addressed.
- Key issues and challenges – what have been addressed? What are ongoing challenges?
- Lessons learned and/or good practices produced by the project

1.4.2 Methods

The following methods were discussed with and agreed by UN-Habitat and served as the main data collection tools for the project evaluation.

- **A kick-off meeting** was conducted to consult with Independent Evaluations Unit of UN-Habitat based in Nairobi, Kenya and UN Habitat Project Manager online using zoom platform to get instructions and better understand the project and scope of the evaluation and also to collect project documents, periodic reports and other associated documents for review and analysis.
- **Literature review** was conducted with initial reflection and analysis of the project reports, other documents and publications. This enabled the evaluation consultant to propose a detailed evaluation process.
- **Inception Report** was produced outlining key informants for interviews and respondents for semi structure discussions and focus group discussions, key research questions, and proposed online survey and data collection tools including those using social media platforms.
- **Interview with stakeholders:** The evaluator was able to meet with the number of people (Annex 2: List of people interviewed and consulted) who had been directly involved in the design and implementation of the project.
- **Primary data was reviewed, compiled, translated into key findings** which is complemented by secondary data from the literature review. The findings were also discussed with the UN-Habitat Project Manager to get clarity for the write-up of the report.
- **The field missions:** Given the time limitation as Mongolia was in Covid-19 related lockdowns in May then in presidential election campaign till 09 June 2021 and celebrating National Holiday during 11-14 July 2021, the field missions were conducted intermittently over period of 02 June - 09 July 2021.
- **The draft evaluation report** was prepared based on preliminary findings and interviews with the UN-Habitat project manager, team members and project stakeholders
- **The evaluation report** was finalized with comments and inputs from UN-Habitat CO, and the Independent Evaluation Unit at UN-Habitat Headquarters.

1.4.3 Limitations of the Evaluation

Covid related restrictions posed a substantial limitation to this evaluation by narrowing the window of access to key informants. However, the evaluator was able to conduct the number of online and in person discussions.

2. Key Findings

The project was designed and has been implemented to support the vulnerable communities and local government in climate change adaptation and disaster preparedness with especial focus on flooding. The interviews conducted among the beneficiary communities and project stakeholders show that the project is already contributing to the resilience building at the community and local government levels by generating evidence-based information about the flood risk, training them to be prepared for the natural and human induced disasters and climate change and constructing the flood protection facilities and flood resilient improved toilets.

At its midterm, the project is well positioned to influence and advise within three levels:

At community level, through UN-Habitat's unique experience in implementing the people's process approach, local communities have been organized, mobilized, and empowered to improve their resilience at the grassroots level. This is helping the communities to gain sense of ownership for their activities for disaster risk reduction furthermore living condition improvement.

At Khoroo and District levels, the project is aiming to build a horizontal cooperation between khoroo, districts and communities and support the local government with the proven tools to engage the communities for flood risk reduction and climate change adaptation.

At national level, the project aims at contributing to the inclusion of the urban dimensions in the national strategy for the climate change adaptation as climate change has been considered in Mongolia mainly an environmental issue and the urban dimensions of the climate change have been left without much attention.

The assessment and rating of the progress towards outcomes show that the deliveries of the outputs are on track with overall satisfactory rating while contributing gradually to the accomplishment of the project outcome and objectives as proposed in the project document. This suggests that project management has been effective and People's Process approach applied for the community involvement has been instrumental.

The concept of 'People's Process' refers to the approach of community mobilisation and organisation, followed by community action planning and community contracting, all of which rely on community-led activity for empowerment of the community. The thinking behind this approach is that those communities that take charge of their own situation will make informed decisions, reach sustainable solutions, achieve better results faster, own the processes and the results, and at the same time enhance their collective capacity to undertake development initiatives.

The longstanding restrictions on organizing community meetings, trainings, and workshops and the ban on international travel imposed by the Mongolian Government since 27 January 2020 to manage the COVID-19 situation, outbreaks of new mutations of Covid-19 and post economic impacts of the restrictions have been the main and unprecedented challenges for the project implementation. Until its mid-term, the project has faced 4 citywide lockdowns until June 2021 which were in March 2020, November 2020 for two months, February 2021 and in Apr-May 2021. Also, there were partial lockdowns in the particular areas of the city which affected the project target areas or the areas where the project staff live.

According to the KIs, the above challenges were resulted in delays for the project in the activities of community mobilisation and organisation, sanitation improvement and start of physical construction activities in 2020. Thanks to the adaptive management applied by the project team, the achieved level of output performances is satisfactory. Specifically, the flood hazard mapping for 10 target khoroo and northern ger areas of Ulaanbaatar city developed under the Output 1 was a new knowledge product which the city was not able to produce and reflect in its land use plans for flood risk reduction. It is already contributing to the public awareness building on flood risk in ger areas. 70 community groups have been established representing 845 families. 173 trainings for awareness building and disaster preparedness have been conducted to train and empower the communities under the Output 2. Under the Output 3, the construction of 2 drainage channels (446 m and 1571m) in Khoroo 40, 550m flood retention dam in Khoroo 9 were completed as of 30 June 2021 already providing direct flood protection for 2068 households. 243 flood resilient improved toilets have been constructed by the target communities benefiting 1700 population from 350 households. Under the Output 4 activities, the project experiences sharing

has been done through the workshops and replication of the project in other flood prone areas have been discussed within the local and national levels. However, the participants often emphasized that the similar intervention with the complete and appropriate solution of flood protection in certain areas require investments higher than the local governments can afford, that's why so far, the local government has been able to do only post disaster mitigation activities in place of adaptation measures.

3. Evaluation results by criteria

The evaluation of the project midterm results was done by 5 evaluation criteria using the scores from 5 to 1 where 5- excellent, 4-good, 3-average, 2-poor, and 1-very poor. The evaluation matrix used for the evaluation is shown in Annex 5.

3.1 Relevance

The midterm project performance was rated by the evaluator with score 4.9 out of 5 in terms of relevance.

3.1.1 Rationale of the project and its objectives

The main objective of the project is to enhance the climate change resilience of the seven most vulnerable Ger khoroo settlements focusing on flooding in Ulaanbaatar City. The project objective, expected outputs and outcomes have not changed and the project's rationale is still valid and very relevant. According to the information gathered from the KIs, the FRUGA project is currently even more relevant as challenges and vulnerabilities faced by target communities have been increasing as a result of the social and economic impacts of COVID-19. Many people in the ger areas have reported loss of employment or employment with reduced hours, which further limits their ability to respond to emergencies and allocate resources to strengthen their adaptive capacity.

3.1.2 The relevance of the objectives of the project to the national and global priorities

The project has been highly relevant in the context of climate change adaptation in Ulaanbaatar city. The project is strongly aligned with the Mongolia's National Development Strategy, the Nationally Determined Contribution, National Action Programme on Climate Change (NAPCC), the Green Development Policy 2014-2030, 2010 National Programme on Water, National Programme on Environmental Pollution Reduction 2017, Flood Risk Assessment and Flood Risk Management Strategy (FRMS) of Ulaanbaatar City and Ulaanbaatar 2020 Master Plan and Development Approach for 2030. Also, the project remains highly relevant with the new policy documents of the country which are currently in effect and developed after the project start. These include the Vision 2050 that was approved in 2020 as a long-term policy of the country.

The project intervention is in alignment with the global strategic frameworks:

- The New Urban Agenda's share vision: We share a vision of cities for all, referring to the equal use and enjoyment of cities and human settlements, seeking to promote inclusivity and ensure that all inhabitants, of present and future generations, without discrimination of any kind, are able to inhabit and produce just, safe, healthy, accessible, affordable, resilient and sustainable cities and human settlements to foster prosperity and quality of live for all.
- SDG #11: Make cities inclusive, safe, resilient and sustainable.

- UN-Habitat’s Strategic Plan 2020-2023, Outcome 3 (Effective adaptation of communities and infrastructure to climate change) under the Domain of Change 3 (Strengthened climate action and improved urban environment)

The project design and implementation address successfully the critical problems of local communities affected by floods and aim to establish a way to reduce the flood risk and adapt to the climate change impacts using proper land use planning.

All activities adequately supported and added value to the concept of DRR and climate change as adapted by “people’s process” approach among local communities.

3.2 Effectiveness

The effectiveness of the project was rated by the evaluator with the score of 4.4.

3.2.1 Actual or expected achievement of the results at the time of midterm evaluation

The project is halfway through its planned duration. At the time of this mid-term evaluation, the results achieved are as described below:

Expected accomplishments	Indicator	Target at the project completion	Achievement	Status	Rating
1. Improved knowledge on flood hazard and risk exposure and vulnerability for the target ger areas	Number of flood simulation models developed	One (1)	The work is completed.	Partially achieved as integration to the land management master plan of the city is assumed to happen in 2022	4.7
	Number of territorial land use plans with identified flood risks developed	One (1)	Work has been completed. Respective integrations to the land management master plan of the city are remaining.		
	Number of Territorial land use plans with identified flood risks developed	Seven (7)	The work is completed. The land use plans with consideration of flood risks for 10 khoros were developed.		
	Women participating in planning process	> 50 % women	52% were women		
2. Improved resilience and adaptive capacity of the Ger settlements through a Community-Based gender-	Percentage of targeted population aware of predicted flood risks and appropriate responses	Mid-term: 30 % End: 50 % > 50 % women	30% of the targeted population have been informed about the flood risks and appropriate response and adaptation measures through their participation in workshops, trainings, and physical involvements in	On track	4.3

responsive approach			the design and implementation of the flood resilient toilets and planning and implementation monitoring of flood control facilities.		
	Number of Khoroo level flood resilience action plans	Seven (7)	Ten (10) Khoroo-level annual Community Action Plans (CAP) developed	On track	
	Women participating in planning process	> 50 % women	211 consultations for community mobilization and organization were organized from the project start to the end of June 2021. The consultations were attended by 2,926 representatives of beneficiary communities, with 62 percent female participation.	On track	
	Number of awareness campaigns and trainings	4 per Khoroo	Total 173 consultations and trainings for awareness-raising at the community level were organized (33 in khoroo 9, 9 in Khoroo 7, 13 in Khoroo 24, 9 in Khoroo 25, 15 in Khoroo 40, 4 in Khoroo 41, 5 in Khoroo 42, 25 in Khoroo 12, 19 in Khoroo 13, 25 in Khoroo 16) were organized.	On track	
	Women participating in planning process	> 50 % women	3,878 community members attended the above consultations and trainings, with 69.7% women participation.	On track	
	Number of studies	1	EE completed a hydrology study. Based on the hydrology study, 6 flood facilities in the target three khoros were proposed, and the design firm prepared detailed designs.	Completed	
	3. Improved resilience of	Number of physical	Five (5) for the flood protection	Construction of three (3) flood channels (2 in	On track

the Ger area physical infrastructure and services	assets strengthened, constructed, and/or modified. to reduce or withstand floods	and drainage intervention: 3x Khoroo 40; 2x Khoroo 9	Khoroo 40 and one in Khoroo 9) was 100% completed. The procurement process for the drainage channel in Khoroo 40 has started.		
	Toilets are appropriate for women, elderly and disabled where required	>50 % of toilets adapted to specific needs	The communities have constructed 243 improved toilets. 100% of them are adapted to the specific needs of the community	On track in terms of accessibility but lags in terms of quantity	
4. Strengthened institutional capacity to reduce risks and capture and replicate lessons and good practices	Number of institutions trained	>1 municipal >3 districts	Total 19 trainings were conducted and attended by 493 representatives from Ministry of Environment and Tourism, two municipality organizations, and three district governor's offices, Mongolian University for Science and Technology and target community organizations.	On track	4
	Women participating	> 50 % women	50% women participation	On track	
Average score					4.4

3.2.2 Factors and processes affecting the achievements of the results

According to the information gathered during consultations, the main unprecedented factor that affected the project implementation was Covid restrictions that lasted since 27 January 2020 until the midterm period of the project. The long-lasting restrictions caused in turn post social and economic impacts that involved unemployment and shortage and cost increase of construction materials. Other factors are the parliamentary and municipal elections in June and October 2020, presidential election in June 2021, restructuring and staff turnover in the Municipality agencies after election. Especially the restructuring and staff turnover in the target district and khoroo require each time a dedication of certain time and effort for a new rapport establishment by the project team.

3.2.3 Effectiveness of the institutional arrangement of the project

The existing management structure of the project is illustrated in Figure 2. It consists of a Project Working Group (PWG), 3 District Sub-working Groups (DSWG), a Project Implementation Unit (PIU), and a Project Execution Unit (PEU) and Executing Entities which include the beneficiary communities and external partners.

The PWG meetings were held at the times of the project milestones when technical and administrative supports were required for the project implementation. The DSWG's meetings

were convened following the PWG meeting to implement the PWG decision with the respective field activities. According to the KI, this structure worked well and has been very instrumental to date for the project implementation.

The PIU established by UN-Habitat has been responsible for the efficient and effective project implementation, efficient coordination with project partners and UN-Habitat Regional Office for Asia and the Pacific (UN-Habitat ROAP) for necessary supervision and support to the project implementation.

The selection of executing entities were done through UN competitive procurement process. The World Vision International Mongolia (WVIM) was selected for the execution of the main component of the project. The Project Execution Unit (PEU) that is in charge of the efficient and effective day-to-day implementation of the project activities and efficient coordination with beneficiary communities and key stakeholders was established under the scope of the WVIM responsibility. The PEU consists of a Manager (National), a Climate Change Advisor (International), a Community Development Advisor (International), an Operations/Finance Officer, 4 Social Mobilisers, an Urban Planner, a Monitoring and Reporting Officer, a Field Engineer, and a driver. The day-to-day project implementation activities have been carried out by the PEU with close guidance of the PIU.

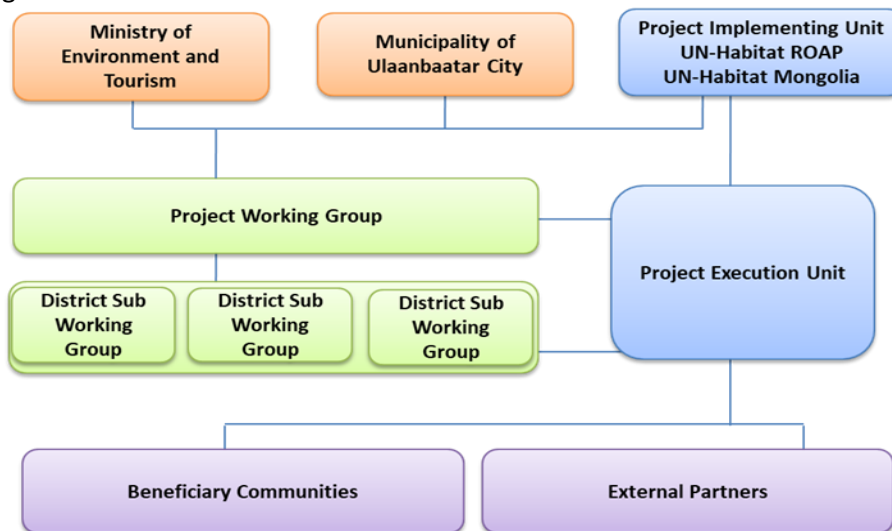


Figure 2. Project Organogram

The Beneficiary Ger area Communities have been the key executing entities for community level adaptation activities through the formation of Primary Groups (PG's) and Community Development Councils (CDC's). The formation of the CDC's and the Primary Groups through the People's Process has involved lengthy consultation steps where consensus is sought and gained across the entire community, by the community, before moving ahead to the next stage of project execution.

UN-Habitat has been worked with other external partners for implementation of certain activities under different outputs. The selection of the external partners was done by UN-Habitat ROAP according to the UN procurement rules and regulations.

3.2.4 Integration of cross-cutting issues

The Evaluator found that the PIU and PEU have been closely monitoring the women and youth involvement, to ensure the gender equality, environmental sustainability, and youth

empowerment. UN-Habitat National Project Manager has been working as a gender focal point, ensuring that gender equity was considered during the implementation of all the activities. Women in the target communities were encouraged and empowered to participate in the project through trainings and consultations. Their attendance was monitored using a sex-disaggregated attendance sheet. Women beneficiaries were very active and instrumental in defining the specific needs of the women, disabled, children, and elderly in terms of flood resilient improved toilet's design and implementation, and application of safety measures for women and children during and after construction of the flood facilities. As per the sex-disaggregated attendance data collection, 65.3% of the total 7,587 participants in the project activities such as consultations, meetings, trainings, and workshops were women while 17.1% of that were youth. 53% of members of organized primary groups and CDCs, and 50% of community leaders were women.

3.3 Efficiency

The efficiency of the project was rated by the evaluator with score of 4.2.

The evaluator found that the project has been maintaining good records of the achievements using the excel databases which provides sex disaggregated detailed information for monitoring, reporting and evaluation of the project.

3.3.1 Action progress against the work plan, budget and overall performance

In terms of the project performance against the work plan and budget, Components 1 and 3 appear to be the highest performing components. Component 3 has provided a high level of tangible outputs in terms of flood facilities as 60% of flood facilities were constructed and already started providing the flood protection to the affected areas. Community mobilization component under Component 2 and community implementation component under Component 3 are found to be a bit lagging compared with the target due to the Covid restrictions and Post Covid economic impacts, so need to be reinforced. Under the Component 3, 1,665 toilets were proposed to be constructed in the project document benefitting 6,117 population. However, according to the KIs and communities, the unit cost estimated at \$450 in the project proposal developed in 2017 was already obsolete when the project started in 2019 as it was already \$800 at that time. The unit cost has reached \$1,200 in September 2021 due to cost increase. Given the Covid restrictions and cost increase challenges, only 243 improved toilets were constructed as of 30 June 2021 directly benefitting 1715 population out of which 54% are women and girls. Table 2 shows the breakdown of constructed toilet numbers by khoroo. Constructed flood resilient new toilets in comparison of old toilets are illustrated by Figure 3.

3.3.2 Delivery of activities and outputs in cost-efficient and timely manner

The project activities have been organized and managed so far in alignment to the project document, work plan, budget and related project implementation operational guidelines of both AFB and UN-Habitat. By contracting with the executing entities that are non-profit the UN-Habitat has been able to keep its operational expenses at the lowest and ensure the efficiency of the project budget. Also, the EE have contributed the project implementation with their in-kind contribution that was estimated at \$79,381. This includes community counterparts in their implementation of resilient toilets. Communities' contributions have been so far mainly in the form of work force rather than cash.

The project has mobilized the target areas' people and created community groups and councils to directly implement and manage activities with technical and financial support from the project

team. This has effectively enabled communities to take ownership in addressing their problems and make a good use of the funding for the intended purpose. This arrangement also ensured the efficiency of the provided support as there is no profit making third party between the project and beneficiary communities.

Table 1.Improved toilets constructed by 30 June 2021

Khoroo	No. of interventions	Households			
		No. of HHS	Total population of	HHS Represented by	
				Male	Female
Sukhbaatar					
SBD12	27	58	272	125	147
SBD13	29	49	219	97	122
SBD16	31	50	214	106	109
Songino-Khairkhan					
SHD7	0	0	0	0	0
SHD24	39	57	239	109	130
SHD25	41	69	296	129	167
Songino-Khairkhan (new)					
SHD40	13	22	87	44	43
SHD41	6	10	32	22	10
SHD42	18	42	96	49	46
Bayanzurkh					
BZD9	30	67	260	112	148
Total	234	424	1715	793	922

Figure 3. Flood Resilient Toilet Construction by Beneficiary Communities



3.3.3 Implementation and adaptive management

According to KIs, the project has faced several uncertain situations and challenges which could affect the timely and smooth implementation of the project. These include 4 times' full and several times partial lockdown periods which required everyone to stay home, prolonged ban of field activities which involves more than 5 persons at a time, shortage and cost increase of construction materials, election periods which prohibited any field activity involving a meeting with communities, restructuring at the national and local government levels which affected the national stakeholders of the project and so on. Every time the PIU with EEs discussed and assessed the preliminary impacts of the situations and identified and implemented measures to prevent or reduce a potential impact or delay for the project.

During the period of Covid restriction, the team prepared a business continuity plan and arranged for online activities. The plan was updated several times during the critical times of Covid outbreak and used for the project implementation so that the project team was able to avoid from substantial delays due to the Covid situations in the country.

The construction processes of drainage and flood protection facilities planned under the Component 3 were closely supervised by the PEU field engineer on the ground to ensure the compliances with the project ESP and avoid any negative or unintended impact to the surrounding environment and people. Grievances and feedback from the neighbouring communities and kharoo administration during the construction activities were addressed and issues were fixed and corrected by PEU in a timely manner. Also, the community Development Councils (CDC) established under the project provided community monitoring around the construction sites to avoid from any environmental and occupational safety issues.

The PIU and PEU have used an adaptive approach for the design and construction of the improved flood resilient toilets. A design was initially prepared in consultation with the beneficiary communities specially including women, girls, children, elderly and PWD. The design of the toilet was gradually improved on the ground based on the needs of the particular households and condition of soil, permafrost and underground water level.

3.4 Impact

The impact of the project so far was rated by the evaluator with the score of 4.4.

3.4.1 Impacts at the Community level

During the evaluation, the evaluator was able to do several field visits and focus group discussions to discover the extent of the outreach of the project to its main beneficiaries. It was discovered that the impact of the project within the context of flood risk reduction and resilience building is already prominent as an essential self-help community structure has been established, 3 flood protection facilities and 243 flood resilient toilets were constructed and are functional now. Other positive results are further expected as prior to the project interventions, no community structure was existed to support and address flood problems at the community level and no flood risk information was available for public use.

According to the interviews with the affected communities, the communities have applauded and much appreciated that the interventions came at the right time and helped address the persisting flooding problems in their lives. Also, the interviews and focus groups discussions revealed that the communities much appreciated the training and awareness building activities for climate change and DRR, preparedness, and resilience building.

The followings are current achievements of the project at the community level:

- Initial flood vulnerability mapping was done by the target areas' communities. This allowed all community members to understand the existing flood risk and the importance of collective action to reduce the risk. Mappings helped the communities to identify the areas affected by frequent flooding and select the most affected beneficiaries with focus on the most vulnerable.
- 70 community groups were established as of 30 June 2021 representing 845 households in the target areas.
- 3878 inhabitants including the community members were trained in DRR reduction and preparedness, climate change and adaptation measures, environmental hygiene, disease prevention, solid waste management and People's Process approach. Please refer to the Figure 3 for the details.
- 350 households with 1700 population were provided with extensive field coaching to carry out specific responsibilities to ensure efficient implementation and management of the improved resilient toilets, local ownership, and the best value of investments.
- The community implementation of the improved toilets has been very effective. The toilet design was improved gradually household to household throughout the project implementation to ensure the accessibility for all members of the household with specific needs including women, children, elderly and disabled. The project mobilized community members for construction of resilient toilets with close supervision and technical guidance from the field engineer. Through this activity local people were provided an opportunity to learn new skills which are highly appreciated by themselves and the communities.
- The PEU has maintained a Facebook page (Fruga) and website (www.frugamongolia.com) to share and disseminate information, knowledge, and experience, and publicize the project activities and achievements to the communities and general public. Over the past three months, the Facebook page recorded 3,627 hits, with an average of 12 per day. The page had a lifetime "likes" of 35,876. The page has 436 followers, and 423 people liked it as of 30 June 2021.

3.4.2 Impact at the local and national government level

The Chair of the Project Working Group has acknowledged that by constructing flood facilities the project helped the MUB to respond to the most persisting flooding problems in Khoroo 40 and 9. The problems were there at least last 5 years and MUB was not able to solve the problems, its responses were limited with the mitigation actions at the times of flooding. The project is aiming to build a horizontal cooperation between khoroo, districts and communities and support the local government with the proven tools to engage the communities for flood risk reduction and climate change adaptation.

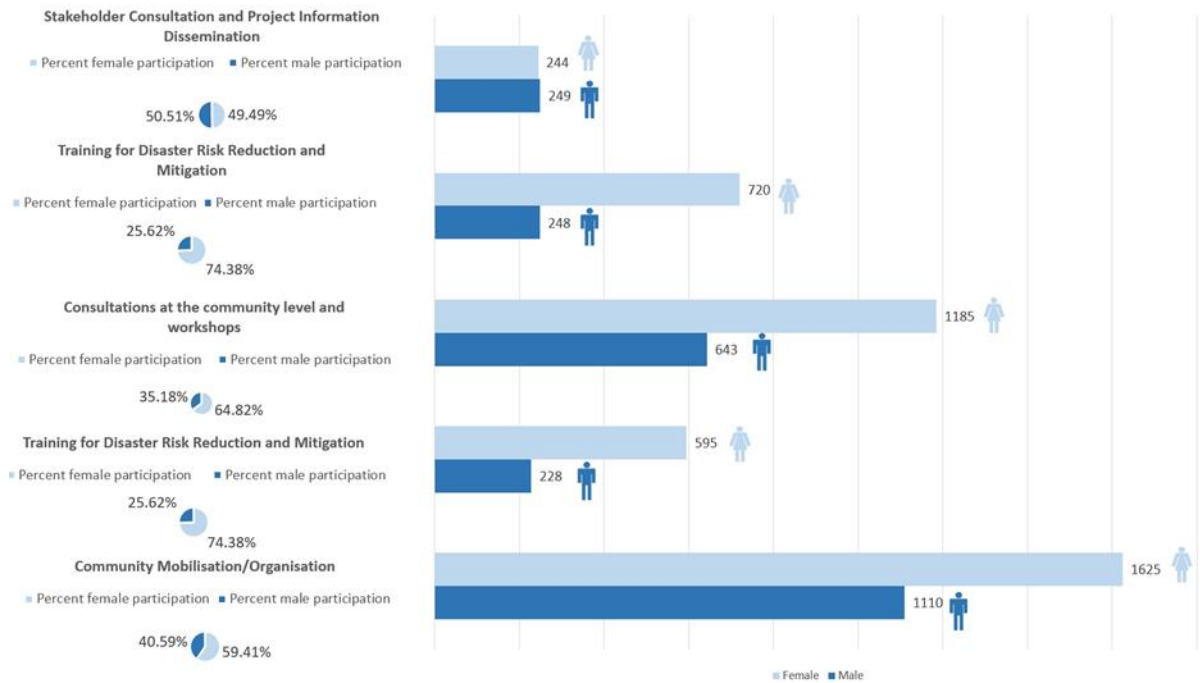


Figure 4. Stakeholders' Participation in Training and Consultations

3.5 Sustainability

The midterm project performance was rated by the evaluator as 3.9 out of 5 score in terms of sustainability.

The project was designed around a strong element of sustainability contributed by the community-led approach. It is supposed to leave behind a well-developed community organisational structure in the project areas and act as a catalyst in embedding the community-led approach in the implementation of government programmes in ger area climate change and flood resilience building.

The evaluator examined the sustainability issues by looking at: (1) the sustainability of the project results, (2) the newly established community and its capacity to continue after the project, and (3) a replication of the similar interventions for flood resilience building in other ger areas.

3.5.1 Factors affecting or likely to affect the sustainability of the results

In terms of the sustainability of the project results, knowledge products generated under the Output 1 were done with forecast to 20, 30, and 50 years ahead time. Therefore, it can be used by the local government and public with these years in mind. If the flood risk map is incorporated into the land use master plan of the city which is being renewed and properly implemented, it would contribute to the flood risk reduction in ger areas for at least 15 years or until its next renewal time.

All newly established communities under Output 2 will still exist and function to some extent after the project. However, the issue of allocating local resources (refer to local development fund) does, in the opinion of the evaluator, potentially affects the functional sustainability of the communities.

Physical assets developed under Output 3 will have more lasting impact with the proper operation and maintenance.

The mobilisation of financial resources would be a challenge to bring this project model for a replication. Nevertheless, the project document, periodic reports, documentation of good practices and lessons learned, videos and other printed materials prepared under Output 4 will be the practical tools for use by government and other parties that wish to respond to the needs of climate change and flood resilience building in ger areas.

Budget availability at the national and local governments has been identified by KIs as one of the major issues impacting the sustainability and replication of the project.

Current capacities within national and local government partners are very limited and existing staff are already overloaded with their daily work. Hence, it is unlikely that the existing structure would be able to support a replication of the project, particularly the implementation of component 3.

3.5.2 Established institutional framework and partnership among the key stakeholders including communities, local and national governments

The project is well positioned to influence and advise within three levels:

At community level, through UN-Habitat's unique experience in implementing the people's process approach, local communities have been organized, mobilized, and empowered to improve their resilience at the grassroots level. This is helping the communities to gain sense of ownership for their activities for disaster risk reduction furthermore living condition improvement.

At Khoroo and District levels, the project is aiming to build a horizontal cooperation between khoroo, districts and communities and support the local government with the proven tools to engage the communities for flood risk reduction and climate change adaptation.

At national level, the project aims at contributing to the inclusion of the urban dimensions in the national strategy for the climate change adaptation as climate change has been considered in Mongolia mainly an environmental issue and the urban dimensions of the climate change have been left without much attention.

4. Conclusions

The overall project implementation was assessed with the rating 4.4 out of 5 score.

The evaluator concludes that the project implementation is on track towards the planned achievements without a major delay and constraints. The project was successful so far in flood resilience building in the target areas and there are already noticeable positive results. The People's Process approach applied for the project implementation has been very instrumental for involvement of the beneficiary communities as one of the key executing entities and helped to develop a community structure that can carry on the resilience building activities at the community level beyond the project with support from the local government.

No major weaknesses in the design, implementation, and reporting of the project have been observed. The achieved level of output performances indicates the good rates of effectiveness and efficiency of the project implementation.

5. Challenges and Lessons Learned

The following is a summary of the main challenges the project has been faced so far as per the evaluator's finding. These challenges were managed by the PIU and PEU to achieve the project

outputs and outcomes. However, the challenges led to some delays during the project implementation:

- The project implementation has been put under a risk of a potential delay by the restrictions in organizing community meetings, trainings, field works, workshops and the ban on international travel since 27 January 2020 imposed by the Mongolian Government to manage the COVID-19 situation. There were citywide and partial lockdowns (1st citywide lockdown was in March 2020, 2nd in November 2020 for two months, 3rd in February 2021 and 4th in Apr-May 2021). During these periods the staff had to work from home and arrange for online activities. In addition to the restrictions, the outbreaks of new mutations of Covid-19 have been challenge for the project team time to time. Some of team members were infected with and recovered from covid to date.
- During the Covid-19 restrictions the community mobilization and organization took longer than anticipated. According to the project social mobilisers, people are initially sceptical about the community-led approach since they were not used to participating in decision-making processes. The momentum builds up in time through a series of the meetings, after the first few groups were formed and after leaders are elected, and particularly, with results starting to show on-the-ground. During the Covid restrictions, the social mobilisers were not able to come to the field to organize community meetings. Online meetings were conducted but they were not that useful compared with in-person meetings in the case of community mobilisation and organisation. The lingered community mobilisation and organisation has also resulted in prolongation of the construction of resilient toilets by communities.
- The construction of the improved toilets by the beneficiary communities has played an important role in social mobilization of the selected ger area residents and integrating people for working and living together as community. Thanks to this activity people are getting to know each other which helps them work more closely for their flood resilience building.
- The construction activities especially the resilient toilets construction by communities have been affected by Covid restrictions, periods with increased Covid cases and lately by the cost increase and availability problems of the construction materials due to the border restrictions by neighbour countries. This was resulted in gradual increases of the unit cost and delays in toilet improvement activities. The initial estimate of the unit cost per a toilet was \$450 in the project proposal prepared in 2017. When the project started in 2019 it was already \$800. Since then, the cost has been gradually increasing following the market cost increase of the construction materials and reached at \$1,200 in September 2021.
-

6. Recommendations

The following recommendations are based upon the findings of the evaluator and the requests from the project beneficiaries and addressed to UN-Habitat for the flood risk reduction and sustainable flood resilience building.

- Recommendation 1: According to the national and local government representatives, climate change is widely considered in the country as only an environment issue, so the sectoral policies don't consider much on climate change impacts expect the environmental sector and don't provide much attention and investment. Also, the flood protection falls under the jurisdiction of the emergency management department of the city which is in charge of the provision of an immediate relief when flooding occurs. There

is only one specialist in the Mayor's Office who oversees the planning, construction, and O&M of flood protection infrastructure. The investments until today were limited with the construction of small-scale flood control facilities and remedial actions after heavy flooding. UN-Habitat's further support and technical assistance as an UN agency would be very important for integration of the urban impacts of the climate change into national and sectoral policies and implementation of demonstration projects for climate change adaptation and resilience building in urban areas including Ulaanbaatar, provincial centers and other settlements.

- Recommendation 2: The newly established communities need to be nurtured organically to provide further support to their communities in resilience building. UN-Habitat support is further required for the CDCs in their recognition and formalization by the local authorities to let them participate in the decision-making processes of the local and national governments as part of the climate change, DRR, preparedness and response mechanisms.

7. Annexes

Annex 1: Terms of Reference

Midterm Evaluation for Flood Resilience in Ulaanbaatar Ger areas project implemented by UN-Habitat

Location	Ulaanbaatar city, Mongolia
Application deadline	*To be entered by the Procurement unit
Type of Contract	Individual Contractor
Post Level	National Consultant
Languages required:	English and Mongolian language
Duration of Initial Contract:	30 working days

1. Background and context

1.1 Organizational Setting of UN-Habitat

The United Nations Human Settlements Program, UN-Habitat, is the United Nations agency for human settlements. It is mandated by the UN General Assembly to promote socially and environmentally sustainable communities, towns and cities with the goal of providing adequate shelter for all. By working at all levels and with all relevant stakeholders and partners, UN-Habitat contributes to linking policy development and capacity-building activities with a view to promoting cohesive and mutually reinforcing social, economic and environmental policies and programs in human settlements in conformity with international practices and covenants.

1.2 Project Description- Overview

In September 2018 UN-Habitat signed an agreement with the Adaptation Fund for Climate Change to implement the project on *Flood Resilience in Ulaanbaatar Ger-Areas (FRUGA) - Climate Change Adaptation through community-driven small-scale protective and basic services interventions* – in the seven most-vulnerable and high-risk ger-areas of Ulaanbaatar Mongolia. The project was planned to be implemented from December 2018 through September 2022. It was funded as part of the US\$23.8 million approved by Adaption Fund Board, for funding of projects and programmes for developing countries to build resilience and capacity to adapt to climate change, during the implementation of the five year Adaption Fund Strategy for 2018-2022.

The main objective of the project is to **enhance the climate change resilience of the seven most vulnerable Ger khoroo settlements focusing on flooding in Ulaanbaatar City**. The objective was to be achieved four components/expected accomplishments:

- (i) Improving the knowledge on flood hazard and risk exposure and vulnerability of the targeted areas;
- (ii) Improving the resilience and adaptive capacity of the Ger settlements through a Community-Based and gender-responsive approach (i.e. building social cohesion per Khoroo)
- (iii) Increasing resilience ger area physical infrastructure and services, supported by enhanced capacities of responsible district level and khoroo authorities.

- (iv) Strengthening institutional capacity to reduce risks and capture and replicate lessons and good practices

The target beneficiaries of the project are the seven target Ger communities in Ulaanbaatar, which are characterized by a high exposure to multiple climate hazards ranging from wind and dust storms, air pollution, and particularly by floods.

2. Purpose, Objectives and scope of the evaluation

The Midterm Evaluation (MTE) is mandated by both the donor and UN-Habitat as per the Agreement between AFB and UN-Habitat. It serves both accountability and learning objectives. It is intended to: (i) provide evidence on whether the project is on track towards achieving its objective and expected accomplishments (outcomes); (ii) enhance learning and identify constraints and challenges which may need corrective measures and improvement. The evaluation will therefore be formative, focusing more on functioning of the project processes, to understand how the project is working and producing its outputs and results. Based on the findings of the MTE, actionable programmatic recommendations will be given to improve delivery of the project for the remaining period of the project. The Key audiences of the evaluation are: The project team, AFB, UN-Habitat other UN-Habitat partners.

Specific objectives of the mid-term evaluation are to:

- (i) Assess the performance of the project in terms of its progress towards the achievement of results at objective, expected accomplishment and output levels.
- (ii) Assess the relevance, efficiency, effectiveness, coherence, sustainability in building flood resilience in Ger areas of Ulaanbaatar city in terms of planning to protect and ensure the right to an adequate standard of living and the effects of Covid-19 on the project.
- (iii) Assess the appropriateness of planning, adequacy of resources, project management modalities, working arrangements and partnerships and how they may be impacting on the effectiveness of the project.
- (iv) Assess how cross-cutting issues such as gender equality, youth and human rights, environment and social safeguards have been integrated in the project.
- (v) Identify areas of improvement, lessons learned and recommend forward-looking strategic, programmatic and management considerations to improve performance of the project for the remaining period of the project.

The evaluation will cover the planning, funding, working arrangements performance and reporting on project for its first two years of implementation (February 2019 – May 2021). The focus will mainly be on processes, assessing achievements of outputs and expected accomplishments (outcomes) so far, identify and analyze constraints, challenges and opportunities.

3. Evaluation Questions based on the Evaluation Criteria

The evaluation will seek to answer the following overarching evaluation questions:

- a)** To what extent is the project achieving its outputs and expected accomplishments?
- b)** To what extent have cross-cutting issues of gender equality, human rights, youth, environmental and social safeguards and youth consideration been integrated into the project design and implementation?
- c)** What are critical gaps in respect to delivery of the project?
- d)** What are lessons learned and recommendations for adjustments and improvement.

The proposed evaluation questions will be supplemented with sub-questions along the evaluation criteria of relevance, effectiveness, efficiency, coherence and sustainability. The Evaluation Consultant, to

conduct the evaluation, is expected to refine the questions and develop evaluation matrix that will guide the evaluation.

Relevance

- To what extent was the project relevant to the requirements/needs of the beneficiaries (national and local governments)?
- To what extent was the implementation strategy responsive to donor and UN-Habitat strategies?
- To what extent is UN-Habitat's comparative advantage in this area of work compared with other UN entities and key partners? To what extent were the identification of key stakeholders and target groups (including gender analysis and analysis of vulnerable groups) and of institutional capacity issues relevant?

Effectiveness

- To what extent is the project on track towards achieving its target results at output and expected accomplishment level?
- Which factors and processes are contributing to achieving or not achieving the expected results (internal and external factors)?
- How appropriate and effective are institutional relationships with the main target groups in which the operations of the project are engaging?
- To what extent has local capacity been strengthened so far through this programme?
- To what extent are monitoring and reporting on the implementation of the project timely, meaningful and adequate?
- How has Covid-19 affected the effectiveness of the project?
- To what extent is the project proving to be successful in terms of ownership in relation to the local context and the needs of beneficiaries?

Efficiency

- To what extent does the management structure of the project support efficient implementation?
- To what extent is the project being implemented efficiently in terms of delivering the expected results according to quality standards, in a timely manner according to budget and ensuring value for money?
- What types of products and services were provided to beneficiaries through this project?
- To what extent is monitoring and reporting on the project transparent and satisfied key stakeholders?

Sustainability

- To what extent is capacity being developed in order to ensure sustainability of the efforts and benefits?
- To what extent is the project engaging participation of beneficiaries in implementation, monitoring, and reporting?
- To what extent is the project fostering innovative partnerships with local institutions and authorities and other development partners?

Coherence/complementarity

- To what extent is the project coherent and implemented in synergy other projects of UN-Habitat funded by the Adaption fund?
- Was the project coherent or complement with partners' policies and with other donors' interventions?

- How has the project used the lessons learned and recommendations from other evaluations relating to **enhancing the climate change resilience, such the Mid-term evaluation of accelerating the climate action?** The report can be accessed through the below link:

<https://unhabitat.org/mid-term-evaluation-accelerating-climate-action-through-the-promotion-of-urban-low-emission>

Cross cutting issues

- To what extent are cross-cutting issues of gender equality, human rights and youth environmental and social safeguards were considered and are being integrated into the project design and implementation?
- Are there any outstanding examples of how these cross-cutting issues are being successfully applied in the project?

4. Stakeholder engagement

It is expected that the evaluation will be participatory, involving key stakeholders. Stakeholders will be kept informed of the evaluation processes including design, information collection, and evaluation reporting and results dissemination to create a positive attitude for the evaluation and enhance its utilization. Key stakeholders will be involved either directly through, interviews, interviews or focus group discussions. UN-Habitat will facilitate the evaluator for the engagement with main stakeholders.

5. Evaluation Approach and Methods

5.1 Approach

The evaluation should employ a mix of approaches and methods. A results-based approach, (Theory of Change Approach) should be applied to this evaluation; to demonstrate how the project is supposed to achieve its objectives by describing the causal logic of inputs, activities, expected accomplishments; and conditions and assumptions needed for the causal changes to take place. Also, the Context Input Process Product (CIPP) approach should be used to assess project implementation structures, procedures, collaboration, coordination, partnerships, and targeted beneficiary needs. In addition, the evaluation should be inclusive, participatory, and consultative with partners and stakeholders. It should be conducted in a transparent way in line with the Norms and Standards of evaluations in the UN system and comply with UN-Habitat Evaluation Policy.

5.2 Evaluation Methods

A variety of methods will be used to collect information. They will include but not be limited to:

- Review of relevant documents in pursuit of specific data points or facts, including project documents, project log frame, key deliverables, meeting minutes, UN-Habitat work programmes, evaluations of the Urban-LEDs Phase I, etc.
- Key informant Interviews and consultation. An interview protocol to cover key evaluation questions will be developed.
- A survey will be determined if it is necessary given the time constraints for this evaluation.
- Field visits may not be possible due to covid-19 situation, with limitations in travels.

The evaluation consultant will describe expected data analysis and instruments to be used in the evaluation inception report. Presentation of the evaluation findings should follow a standard format of the UN-Habitat Evaluation report.

6. Evaluation consultant's skills and experiences

The evaluation will be conducted by an external evaluation consultant (national or external). He/she is responsible for planning and conducting of the evaluation. He/she must have proven experience in

evaluating project/programmes and should have knowledge of Results-Based Management and strong methodological and analytical skills.

In addition, the consultant should have:

- a) Knowledge in climate change issues
- b) Evaluation experience with ability to present credible findings derived from evidence and putting conclusions and recommendations supported by findings.
- c) Knowledge and understanding of UN-Habitat mandate and its operations is added advantage
- d) Advanced academic degree in political sciences, communication, information technology, sociology or another relevant field.

7. Evaluation Management and responsibilities

Impartiality is an important principle of evaluation because it ensures credibility of the evaluation and avoids a conflict of interest. For this purpose, officers responsible for design and implementation of the project should not manage the evaluation process. The independent Evaluation Unit will manage the evaluation process, ensuring that the evaluation is conducted by a suitable evaluator, providing technical support and advice on methodology, explaining evaluation standards and ensuring they are respected, ensuring contractual requirements are met, approving all deliverables (TOR, Inception Reports; draft and final evaluation reports), sharing the evaluation results, supporting use and follow-up of the implementation of the evaluation recommendations.

FRUGA project team will be responsible for supporting the evaluation processes by providing information and documentation required as well as providing logistics and contacts of stakeholders to engage.

The Evaluation Reference Group (ERG) will be established as a consultative arrangement and having representatives of Independent Evaluation Unit, FRUGA team, and representatives of the projects to oversee the evaluation process and maximize the relevance, credibility, quality, uptake and use of the evaluation. The ERG members will participate in meetings of the reference group; and provide inputs and quality assurance on the key evaluation products: TOR, Inception report and draft evaluation report; and participate in validation meeting of the final evaluation report.

8. Expected Deliverables and Payment Schedule

Three deliverables for this evaluation are:

- (i) ***Inception report*** (not more than 15 pages). The consultant is expected to review relevant information including TOR and develop fully informed inception report, detailing how the evaluation is to be conducted, what is to be delivered and when. The inception report should include evaluation purpose and objectives, scope and focus, evaluation issues and tailored questions, methodology, evaluation work plan and deliverables. Once approved, it will become the key management document for the evaluation, guiding the evaluation delivery in accordance with UN-Habitat's expectations. The inception report should include:
 - Context of evaluation
 - Purpose, objectives, and scope of the evaluation
 - Theory of Change (Reconstruction of Intervention logic)
 - Approach and Methodology for the evaluation
 - Evaluation Questions and judgement criteria
 - Data collection and analysis methods
 - Stakeholder mapping
 - Consultation arrangements to maximize the relevance, credibility, quality and uptake of the

- evaluation
 - Field visit approach
 - Work plan and timelines of evaluation
- (ii) **Draft evaluation report.** The evaluator will prepare draft evaluation report to be reviewed by UN-Habitat. The draft should follow UN-Habitat’s standard format for evaluation reports (the format will be provided). The format is intended to help guide the structure and main contents of evaluation reports formulated by UN-Habitat.
- (iii) **Final evaluation report** including executive summary and appendices prepared in English following UN-Habitat’s standard format of an evaluation report. The report should not exceed *50 pages, including the executive summary but excluding annexes*. The report should be technically easy to comprehend for non-evaluation specialists.

9. Provisional work schedule

The mid-term evaluation will be conducted during the period of June-July 2021. The table below indicates timelines and expected deliverables for the evaluation process.

The duration of the evaluation is 20 working days. The exact start date will be agreed with UN-Habitat and partners, and in light of the COVID-19 constraints. The work schedule for the assignment is summarized in the table below.

Work schedule	Number of working days billed	Anticipated Dates
Milestone 1: Meeting with UN-Habitat team to discuss the work plan	1	TBD
Milestone 2: Submit/discuss the inception report, including tentative table of contents of the evaluation report (deliverable 1)	4	TBD
Milestone 3: Review the project document and contract and evaluate project outputs (planning documents/reports)	5	TBD
Milestone 4: Organize interviews, consultations, and discussions with key relevant stakeholders and civil society organizations aiming to evaluate the capacities built and future needs	10	TBD
Milestone 5: Draft project evaluation report and submit for comments (deliverable 2)	6	TBD
Milestone 6: Produce the final project evaluation report including final comments and feedback (deliverable 3)	4	TBD
Total	30	

10. Resources and Payment

The evaluation consultant will be paid a professional evaluation fee based on the level of expertise and experience and it will be based on delivery of three outputs as follows: deliverables by UN-Habitat.

Installments	Expected Outputs	Payment
1 st Payment	Upon submission of the inception plan, including work plan and stakeholder analysis and approval by UN-Habitat	30%
2 nd /Final Payment	Draft evaluation Report	n/a
	Upon submission of the final evaluation report and all deliverables (documents and reports) and approval by UN-Habitat	70%

Annex 2: List of people interviewed and consulted

No.	Names	Sex	Titles
I	UN-Habitat		
1	Mr Martin Barugahare	Male	Evaluation Unit UN-HABITAT
2	Mr Laxman Perera	Male	Human Settlements Officer UN-Habitat ROAP
3	Mr Eric Kaibere	Male	Evaluation Unit UN-Habitat
4	Ms Lucy Omondi	Female	Evaluation Unit UN-Habitat
II	Project Team		
5	Ms Enkhtsetseg Shagdarsuren	Female	UN-Habitat (Mongolia) Project Manager
6	Ms Udval Otgonbayar	Female	UN-Habitat (Mongolia) Finance Officer
7	Ms Munkhbayar Bayasgalan	Female	Team leader, WVIM Project team (Executing Entity)
8	Mr Binod Shrestha	Male	International Consultant, WVIM Project team (Executing Entity)
9	Mr Liam Fee	Male	International Consultant, WVIM Project team (Executing Entity)
10	Ms Munkhuu Dondov	Female	Social mobiliser, WVIM Project team (Executing Entity)
11	Ms Uranbileg Ulaankhuu	Female	Social mobiliser, WVIM Project team (Executing Entity)
12	Ms Tsogzolmaa Tsegmid	Female	Social mobiliser, WVIM Project team (Executing Entity)
13	Ms Zolzaya Namsrai	Female	Social mobiliser, WVIM Project team (Executing Entity)
14	Mr Naranbat Namsrai	Female	Urban Planner, WVIM Project team (Executing Entity)
15	Mr Tseveen Chinnorov	Male	Construction supervision engineer, WVIM Project team (Executing Entity)
16	Ms Sumyasuren Jamyansuren	Female	M&E Officer, WVIM Project team (Executing Entity)
III	Government Partners		
17	Mr Batjargal Zamba	Male	Special Envoy for Climate Change, Focal Point for AF
18	Mr Baldandorj Molomjamts	Male	Officer in charge of Flood Protection Infrastructure, Governor's Office of Ulaanbaatar City
19	Ms Munkhzul Jantsan	Female	Land use Specialist, Land use planning division, Land Administration Department of Ulaanbaatar city
20	Ms Saruul	Female	Planner, Urban Design Institute of Ulaanbaatar city
IV	Construction and design companies		
21	Mr Myagmarbayar	Male	Field engineer, "Khangiltsag" Construction Company
22	Mr Myagmarsuren	Male	Director, "Khangiltsag" Construction Company

23	Ms Bolormaa	Female	Chief engineer, "Tenuun tuvurguun" Construction Company
24	Mr Myagmar	Male	Chief engineer, "BD Engineering" Design Company
25	Mr Batbold	Male	Chief planner, "BD Engineering" Design Company
V	Other Executing Entities		
26	Mr Gomboluudev	Male	Team Leader, CCNS company
27	Mr Duudee	Male	Team leader, MTTTC company
28	Ms Ariuntuya	Female	Team member, MTTTC company
VI	Community members		
29	Ms Enkhtsetseg. O	Female	Community Leader, 9 th Khoroo
30	Ms Nasanbayar Tuya	Female	Community Leader, 40 th khoroo
31	Mr Baterdene	Male	Community Leader, 13 th Khoroo
32	Ms Oyuntsetseg	Female	Community Leader, 16 th Khoroo

Annex 3: Work plan

TASK №	Activity	Place of performance	Implementation																														Σ					
			May-21					Jun-21										Jul-21																				
			Week 1	Week 2	Weeks 3-4		Week 5		Week 6	Week 7	Week 8		Week 9		Week 10		Week 10																					
Calendar Day	17	18	19	20	27	28	31	2	9	10	11	14	15	16	17	21	22	23	28	29	1	5	8	9	12	13	15	16	19	20	21	22	23	26	27	28	29	30
	WDS on mission				1	1		0.5				1		0.5	0.5																							3.0
	WDS home-based		1	1	1	1	1		0.5			1	1	1	0.5	0.5	1	1	1	1	1	1	1	1	0			1	0	0	0		1	0	0	0		19
	TOTAL WDS							5																													5	22
	Phase 1: Inception Phase	Place of performance																																				
0.1	Background analysis	Ulaanbaatar (UB)																																				
0.2	Kick-off meeting: zoom with UN-Habitat, Nairobi & UB	UB / Nairobi																																				
0.3	Initial documents/data collection and analysis	UB																																				
0.4	Inception interviews	UB																																				
0.5	Stakeholders' mapping/ analysis	UB																																				
0.6	Elaboration of intervention logic (based on Theory of Change)	UB																																				
0.7	Identification of information gaps / hypotheses to be tested in the field phase	UB																																				
0.8	Design of Evaluation Matrix and drafting of Evaluation Questions and planning of following phases	UB																																				
0.9	Interviews	UB																																				
0.1	Preparation and submission of the Inception Report / Work Plan	UB																																				
	Phase 2: Field Phase	Place of performance																																				
1.1	Briefing with UN-Habitat, PM and Reference Group; presentation of MTE strategy, approaches; and work plan; obtaining UN-Habitat feedback	UB																																				
1.2	Primary evidence collection with the use of the most appropriate techniques	UB																																				
1.3	Data and evidence collection	UB																																				
1.4	Analysis of collected data (in additional consultations with stakeholders if needed)	UB																																				
1.5	Debriefing with UN-Habitat via face-to-face meeting	UB																																				
	Phase 3: Synthesis Phase	Place of performance																																				
1.1	Final analysis of findings (with focus on the Evaluation Questions)	UB																																				
1.2	Formulation of the overall assessment, conclusions and recommendations	UB																																				
1.3	Preparation and Submission of Draft Final report	UB																																				
1.4	Preparation and Submission of the Executive Summary according to the standard template published in the EVAL module	UB																																				
1.5	Meeting with UN-Habitat Delegation - Presentation of Draft Final Report	UB / Nairobi																																				
1.6	Submission of Final Report	UB / Nairobi																																				

Legend

- ★ Deliverables
- ◆ Meetings/Workshop
- Activity (full time)
- ▨ Activity (part-time)
- Public holiday Mongolia
- UN-Habitat feedback& reflection

Annex 4. Evaluation Matrix

Project Components	Expected Achievements/Outcomes and Outputs	Relevance				Effectiveness				Efficiency			Impact			Sustainability				
		Rationale of the project and its objectives	The extent of the objectives of the project suited to the national and global priorities	Changes in result context during the implementation (5-no change, 1-large change)	Ownership by national and local stakeholders	Actual or expected achievement of the results at the time of midterm evaluation	Factors and processes affecting the achievements of the results (5-low, 1-high)	The institutional arrangement of the project	Cross-cutting issues such as gender equality, youth and human rights, environment and social safeguards have been integrated and considered in the project	Action progress against the work plan, budget and overall performance	Delivery of activities and outputs in cost-efficient and timely manner	Implementation and adaptive management	Impacts at the community level	Impacts at the local and national government level	Required improvements in implementation and management (5-low, 1-high)	Factors affecting or likely to affect the sustainability of the results (5-low, 1-high)	Established institutional framework and partnership among the key stakeholders including communities, local and national governments (5- High, 1- Poor)	From "built capacities to building capacity" utilizing project team, consultants, trained communities and stakeholders	Using new knowledge to build up confidence, owned, further disseminated and applied	Capacity and resources of partners to take the activities forward
Evaluation score		4.9				4.4				4.2			4.4			3.9				
Component 1	1. Improved knowledge on flood hazard and risk exposure and vulnerability for the target ger areas (In line with AF outcome 1: reduced exposure at national (and city) level to climate-related hazards and threats)	4.8				4.7				4.7			4.7			4.0				
	Output 1.1. One Ulaanbaatar northern Ger-Area Territorial Land Use Plan, with zoning, legal framework recommendations and a specific focus on flood risk reduction	5	5	5	4	4	4	5	5	5	4	5	5	4	5	4	4	4	5	3
	Output 1.2. Simulation model for forecasting future impacts of climate change flooding in UB city & Ger-areas established	5	5	5	4	5	4	5	5	5	4	5	5	4	5	4	4	4	5	3
	Output 1.3. Seven Detailed Ger-khoroov level Land Use Plans with specific focus on flood risk reduction and building resilience of the most vulnerable areas and people	5	5	5	5	5	4	5	5	5	4	5	5	4	5	4	4	4	5	3
Component 2	2. Improved resilience and adaptive capacity of the Ger settlements through a Community-Based gender-responsive approach (In line with AF outcome 3: strengthened awareness and ownership of adaptation and climate risk reduction processes at local level)	4.9				4.5				4.1			4.1			4				
	Output 2.1 Seven (7) Khoroov-level floods resilience action plans to implement the interventions under component 3; A series of District, Khoroov and community level consultations / workshops introducing the People's Process and Community Based Disaster Risk Reduction approach, focused on building social cohesion and consensus on community level implementation of interventions under component 3.	5	5	5	4	3	3	5	5	3	4	4	4	4	3	4	4	4	4	3
	Output 2.2. Khoroov community level interventions operation & maintenance and awareness campaigns and trainings (50 percent women where possible)	5	5	5	5	5	3	5	5	5	4	4	4	4	3	4	4	4	4	3
	Output 2.3. Technical studies – Engineering and hydrological - required to implement the interventions under component 3.	5	5	5	5	5	5	5	5	5	4	4	5	5	5	5	5	4	5	3
Component 3	3. Improved resilience of the Ger area physical infrastructure and services	5				4.3				4			4.3			3.8				
	Output 3.1.1. Physical assets (drainage) developed or strengthened in response to climate change related flood impacts	5	5	5	5	4.0	3.7	4.3	5.0	4.0	4.0	4.0	4.3	5.0	3.7	4	4	4	4	3
	Output 3.1.2. Physical assets (sanitation) developed or strengthened in response to climate change related flood impacts	5	5	5	5	3	3	4	5	3	3	4	4	5	3	4	4	4	4	3
	Output 3.2. Management & operations; design & supervision of assets / physical infrastructure to comply with national and local regulations and processes – procured as consulting services	5	5	5	5	4	4	4	5	4	4	4	4	5	4	4	4	4	4	3
Component 4	4. Strengthened institutional capacity to reduce risks and capture and replicate lessons and good practices (In line with AF outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses)	5				4.3				4.0			4.3			3.8				
	Output 4.1. Lessons learned and best practices regarding flood-resilient urban community development are generated, captured and distributed to other Districts and khoroov communities, civil society, and policy-makers in government appropriate mechanisms.	5	5	5	5	4	4	4	5	4	4	4	4	5	4	4	4	4	4	3
	Output 4.2. Workshops and trainings will be organised targeting city- and district government officials (50 percent women where possible) with a focus on replication of processes, land use plans and interventions	5	5	5	5	4	4	4	5	4	4	4	4	5	4	4	4	4	4	3
	Rating: 5-Excellent, 4-Good, 3-Average, 2-Poor, 1-Very Poor																			

Annex 5. Detailed evaluation methodology

Methodology for the evaluation

The MTE Terms of References has already presented an indicative methodology for the overall evaluation of the project. This has been discussed and refined with the UN-Habitat Independent Evaluation Unit. The following approach will be used:

Step 1: Review: the evaluation will review the materials available;

Step 2: Discussions with project staff: determine what was done, inputs, outputs, outcomes, etc;

Step 3: Selection of key beneficiaries / stakeholders and set-up meetings;

Step 4: Meetings with key beneficiaries / stakeholders through 17 May – 02 Jun 2021 (in field missions to the Bayanzurkh and Songino-Khairkhan districts and from the week starting 14 June 2021 in Sukhbaatar district, as well as Central Government and Metropolitan agencies in charge and district and khoroo governments and the project stakeholders whatever available to cross-reference what was done and assess impact, sustainability, etc;

Step 5: Request missing/additional information from the UN-Habitat Mongolia Office, project stakeholders and the related Government Ministries and local government agencies;

Step 6: Evaluation Team presents preliminary results to the UN-Habitat Independent Evaluation Unit;

Step 7: Evaluation Team synthesises information and write-up leading to the draft final report;

Step 8: Evaluation Team finalises the final report upon receipt of feedback from the Independent Evaluation Unit.

The key issues to be covered include:

- What was done under the project?
- What was your role?
- What was the impact?
- Is it sustainable?
- What can be done to improve reporting, communication of the projects as well as to ensure sustainability of the project activities.

Issues Related to the Evaluation Methodology and Mitigation Measures

The main difficulties observed in the inception and field phase that have been encountered with regards to the Evaluation Methodology include:

- The political, institutional and staff fluctuation influencing implementation; General Parliamentarian Elections held in June 2020, Municipal – local elections held in October 2020, Presidential Elections held in June 2021 and some top rank as well as local government project related civil servants may have withdrawn / and some recently took over their offices from / to the civil service in order to run in those election, the rest of the public service may get not too much focused and / or interested in the project evaluation type of operations.
- Risk of institutional memory loss of the project after Parliamentarian/Municipal elections in June /October 2020 (National and local government agencies) as well as Presidential elections held in June this year;
- The ability of MUB and MET and other project stakeholders to deliver their key documents like annual action and internal monitoring and evaluation reports.
- The willingness of project beneficiaries to participate in the field work; *project beneficiaries demonstrated high level of willingness and actively participated in the field work in districts and khoros visited.*
- The ability of the project final beneficiaries (ger area communities and citizens) to agree and deliver in time their responses on the online survey promoted via social media;

- The institutional memory of the participating project beneficiaries; ger area communities and citizens; *This posed no risk during the field missions.*
- The speed of logistical communications and arrangements the project team and respecting government agencies will provide as to meet the requirements of the tight MTE schedule; *In general logistical communications and arrangements of the project team and related government agencies were efficient in terms of the setting up meetings.*

The evaluation team is proposing to conduct an online survey to answer this concerns:

- **Interviews and focus group discussions**
Interviews and focus group discussions are proposed to cover project beneficiaries, central and metropolitan government (MET, metropolitan agencies in charge and district and khoroos governments) and project working groups, Implementing partners, as well as construction contractors, engineers, supervisors.

The evaluation team hopes to collect respective information by the first two weeks of July 2021 hopefully; This shall be enough for starting detailed analysis on the synthesis stage.

Consultation strategy

As mentioned in the A&M the MTE will follow UN Principles for the Evaluation of Development Assistance. UN principles being:

- In order to be credible, the evaluation will be impartial and independent;
- The evaluation will be as open (transparent) as possible;
- For the evaluation to be useful for future project decision-making the MTE will use feedback from both policymakers and operational staff;
- The evaluation will be made with cooperation of recipients (MUB, etc.) and implementing organisation (UN-Habitat) via the Independent Evaluation Unit of the UN-Habitat;

The ToR has outlined the following with regards to the consultation strategy:

1. Based on the specific indicative Evaluation Questions and following initial consultations and document analysis, the evaluator has discussed with the Evaluation Supervisor and propose in the Inception Report a complete and finalized set of Evaluation Questions.
2. Further to a first desk review of the political, institutional and/or technical/cooperation framework of UN-Habitat support to Mongolia, the evaluation team will reconstruct or as necessary construct, the Intervention Logic of the Action to be evaluated.
3. During the field phase, the evaluation team shall ensure adequate contact and consultation with, and involvement of the different stakeholders; with the Office of Governor of Ulaanbaatar city, MET and other government implementing agencies involved and the project donors, etc.
4. Sufficient forward planning is being taken into account in order to ensure the active participation and consultation with government representatives, national / local and other stakeholders.
5. Analysis of collected data will be done with additional consultations with stakeholders if needed.

Field visit approach

Originally, the ToR envisioned some field visits to the project beneficiary khoroos.

The MTE proposes field visits and stakeholder meetings as much as possible for the UN-Habitat Mongolia office can arrange, in close consultation due to the government possible lockdown and other restrictive decisions.

The fieldwork should definitely include field trips to meet with project beneficiaries and stakeholders in selected UB districts and khoros, the selection of which has been discussed, consulted and coordinated with project teams as well as with the MUB district and khoroo governments as well as other related Metropolitan Agencies and preliminary agreed with the UN-Habitat.

UN-Habitat Mongolia Office has kindly arranged vehicle for the field visits, office space for one week, and other meeting arrangements for the MTE and has also kindly agreed to send memos to the related Government and project stakeholders requesting them meeting arrangements to the evaluation team. The evaluator is hereby extending gratitude to the UN-Habitat Mongolia Office for the hospitality and all the logistical support provided.

Analysis of risks related to the evaluation methodology and mitigation measures

Here is a preliminary analysis of risks related to the evaluation methodology and mitigation measures.

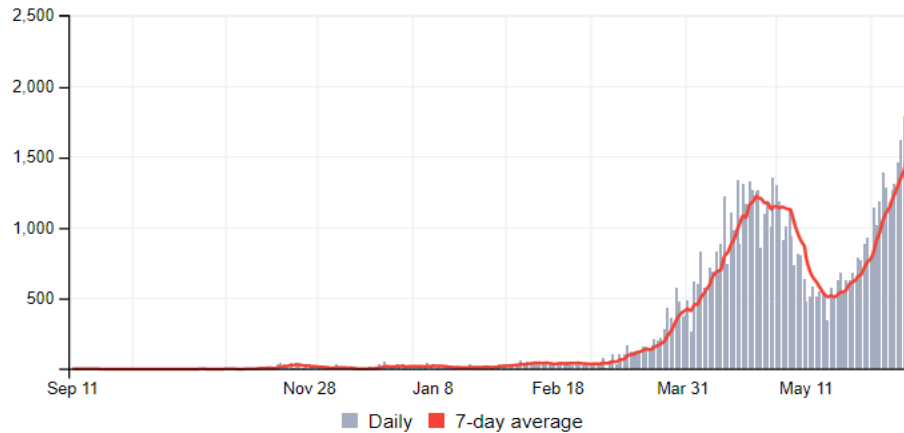
The main challenges/difficulties observed in the inception phase that have been/are likely to be encountered include:

- The risk of Covid-19 related lockdowns and other related restrictions;
- The long time scale of the project;
- Scale of coverage is pretty large. This will definitely increase the amount of time and efforts required for the evaluation.
- The political, institutional and local government staff fluctuation influencing implementation; General Parliamentarian Elections / Local elections held in June/October 2020, as well as Presidential elections held in June 2021 and some top rank as well as local government project related civil servants may withdraw from the civil service and some may took the office as a result of those elections, the rest of the public service may get not too much focused and / or interested in the project evaluation type if operations.
- Risk of institutional memory loss of the project after elections (Government ministries, local government and agencies);
- The ability of central and local government to deliver their key documents like annual action and internal monitoring and evaluation reports as well as report on the training activities / study tours, and other input data;
- The willingness of government, local communities / project beneficiaries to participate in the evaluation field work and online surveys;
- The ability of the project final beneficiaries to agree and deliver in time their responses to the online surveys;
- The institutional memory of the participating project beneficiaries; ger area communities and citizen and local especially MUB agencies in charge and district and khoroo level local governments;
- And lastly, the speed of logistical communications and arrangements the project team and respecting government agencies will provide as to meet the requirements of the tight MTE schedule.

The MTE will address these potential risks by proper, clear and direct communication with the related parties, the stakeholders and beneficiaries, primarily via the project office, main beneficiaries – ger area communities, the project teams and in consultation with the UN-Habitat Mongolia Office.

Difficulties Encountered During the Inception Phase and Mitigation Measures Adopted

Daily Confirmed Cases



Source: <https://covid19mongolia.mn/en/> accessed on June 15, 2021 10:55am

Setting up meetings with MET, and local authorities is requested from UN Habitat Mongolia Office subject to Covid-19 related restrictions and lockdowns.

The evaluation is being undertaken in culmination of the virus outbreak which complicates the field mission planning. A prior planning needed in consultation with the project office to plan the most appropriate schedule with mildest possible consequences; daily adjustments maybe requested.

Presidential election campaign combined with lockdowns, and consecutive virus outbreak overspread which in its turn may cause next lockdowns in the city and the nation in whole makes it difficult to plan live meetings, KIIs and FGDs and communicate effectively.

Covid-19 related lockdowns and Presidential Election 2021 campaign has coincided with the MTE.

The evaluation coincided with the threat of the coronavirus spread. The very fact that the border between China and Mongolia stretches 4,630 kilometres (2,880 miles) the threat of the virus spreading into Mongolia is high. Mongolian authorities introduced quarantines for schools and kindergartens. People are recommended/forced to stay at home. Most of the field mission was completed after the quarantine, but it limits other meetings. The probability of the next lockdown is pretty high. This will severely restrict applicability of live meetings, KIIs and FGDs.

For this reason, online communication to collect more responses from stakeholders and beneficiaries are recommended. Luckily, the project has already developed online communication channels with project beneficiaries in place already; most of the trainings and communications with beneficiaries go online using platforms like zoom and Facebook.