

Project Administration Manual

Project Number: 48236-001
Grant Number: 9187
June 2017

Mongolia: Strengthening Community Resilience to
Dzud, and Forest and Steppe Fires
(Financed by the Japan Fund for Poverty Reduction)

ABBREVIATIONS

ADB	–	Asian Development Bank
CSO	–	civil society organization
DPCC	–	NEMA Department of Policy Coordination and Cooperation
DRM	–	Disaster risk management
EMP	–	environmental management plan
GOM	–	Government of Mongolia
GRM	–	grievance redress mechanism
LEMA	–	Local Emergency Management Agency
MET	–	Ministry of Environment and Tourism
MOF	–	Ministry of Finance
MOFA	–	Ministry of Food and Agriculture
NEMA	–	National Emergency Management Agency
PAM	–	project administration manual
PIU	–	project implementation unit
PSC	–	project steering committee
SPS	–	safeguard policy statement
UNDP	–	United Nations Development Programme

GLOSSARY

<i>aimag</i>	–	province
<i>bagh</i>	–	sub-district
<i>dzud</i>	–	A Mongolian term for a severe winter in which large number of livestock die, primarily due to starvation due to being unable to graze, in other cases directly from the cold.
<i>soum</i>	–	district

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PROJECT AT A GLANCE

1. Basic Data		Project Number: 48236-001	
Project Name	Strengthening Community Resilience to Dzung and Forest and Steppe Fires (formerly Strengthening Capacity for Disaster Risk Management and Coordination)	Department /Division	EARD/EAER
Country	Mongolia	Executing Agency	National Emergency Management Agency
Borrower	Not applicable		
2. Sector	Subsector(s)	ADB Financing (\$ million)	
✓ Agriculture, natural resources and rural development	Agricultural policy, institutional and capacity development		0.00
	Rural water policy, institutional and capacity development		0.00
	Total		0.00
3. Strategic Agenda	Subcomponents	Climate Change Information	
Inclusive economic growth (IEG)	Pillar 2: Access to economic opportunities, including jobs, made more inclusive	Adaptation (\$ million)	1.60
Environmentally sustainable growth (ESG)	Disaster risk management	Climate Change impact on the Project	Low
	Environmental policy and legislation		
	Global and regional transboundary environmental concerns		
4. Drivers of Change	Components	Gender Equity and Mainstreaming	
Governance and capacity development (GCD)	Client relations, network, and partnership development to partnership driver of change	Effective gender mainstreaming (EGM)	✓
	Civil society participation		
	Institutional development		
	Institutional systems and political economy		
	Organizational development		
Knowledge solutions (KNS)	Application and use of new knowledge solutions in key operational areas		
	Knowledge sharing activities		
Partnerships (PAR)	Civil society organizations		
	Implementation		
5. Poverty Targeting		Location Impact	
Project directly targets poverty	Yes		
Geographic targeting (TI-G)	Yes		
6. Risk Categorization:	Low		
7. Safeguard Categorization	Environment: C Involuntary Resettlement: C Indigenous Peoples: C		
8. Financing			
Modality and Sources		Amount (\$ million)	
ADB		0.00	
Cofinancing		3.00	
Japan Fund for Poverty Reduction - Grant		3.00	
Counterpart		0.00	
None		0.00	
Total		3.00	
9. Effective Development Cooperation			
Use of country procurement systems		Yes	
Use of country public financial management systems		Yes	

JFPR Project Administration Manual Purpose and Process

The Japan Fund for Poverty Reduction (JFPR) project administration manual (PAM) describes the essential administrative and management requirements to implement the JFPR-funded project on time, within budget, and in accordance with the government and Asian Development Bank (ADB) policies and procedures. The JFPR PAM should include references to all available templates and instructions either through linkages to relevant URLs or directly incorporated in the JFPR PAM.

The National Emergency Management Agency (NEMA) is wholly responsible for the implementation of the project, as agreed jointly between the grant recipient and ADB, and in accordance with the government and ADB's policies and procedures. ADB staff is responsible to support implementation including compliance by the NEMA Office of the Chief and Department of Policy Coordination and Cooperation of their obligations and responsibilities for project implementation in accordance with ADB's policies and procedures.

NEMA and ADB shall agree to the JFPR PAM and ensure consistency with the grant agreement. In the event of any discrepancy or contradiction between the JFPR PAM and the grant agreement, the provisions of the grant agreement shall prevail.

After ADB Board approval of the project's grant assistance report (GAR) changes in implementation arrangements are subject to agreement and approval pursuant to relevant government and ADB administrative procedures (including ADB's Project Administration Instructions) and upon such approval they will be subsequently incorporated in the JFPR PAM.

I. PROJECT DESCRIPTION

A. Project Rationale

1. The project aims to strengthen community resilience to disaster risk by piloting a mechanism to establish community-based disaster risk management (CBDRM) plans for collective action by *bagh*¹ neighborhood groups. The project will focus on risks of *dzuds*² and forest and steppe fires in four target *aimags*³ – Dornod, Gobi-Altai, Khuvsgul and Sukhbaatar. The project is proposed as a grant and will be implemented tentatively between 2016 and 2019. Project activities, based on a pro-poor, participatory approach, will directly benefit 7,000 herders and *soum*⁴ center residents in 2,500 households, including 250 female-headed households; and indirectly benefit the wider community in target *soums*, with a total population of 32,000. The project will be the first in Mongolia to introduce and pilot a bottom-up institutionalized mechanism for the involvement of communities in disaster risk management (DRM).⁵

2. Mongolia's harsh climate, poorly developed infrastructure, persistent poverty, limited institutional capacity, and nomadic herding lifestyle increase risk of loss of livelihood and damage to the ecosystem and environment due to natural and anthropogenic causes of hazards. The proposed project will increase resilience of targeted rural communities and broader government capacity to selected natural hazards in Mongolia.

3. *Dzuds* and forest and steppe fires are among the potentially most damaging natural hazards in Mongolia. Recurring *dzuds* and droughts over the last decade have affected much of the rural population. The 2009–2010 *dzud* resulted in losses of 25% of Mongolia's total livestock population affecting livelihoods of 97,000 poor herder households. Further, extreme weather was experienced during the November 2015–April 2016 winter *dzud*, with 90% of the country covered with snow and temperatures of –50° Celsius, devastating grazing conditions for herders and their livestock, already reeling from the severe 2015 summer drought that led to a 40% reduction in wheat production and grazing pasture. According to United Nations, over 41% of Mongolia's herder population was affected and 1.1 million livestock perished in the recent *dzud*.⁶

4. While *dzud* is purely a natural climate phenomenon, forest and steppe fires are caused by natural and anthropogenic factors. Beyond lightning, frequent causes of forest and steppe fires are human activity ranging from vehicle sparks to cooking ash to improperly disposed cigarette butts to hunter tracer bullets. Forest and steppe fires threaten herders and ecosystems, claiming lives of poorly equipped firefighters, community members and livestock. Forest fires contribute to an estimated loss of 60,000 hectares (ha) of forest per annum. In heavily forested areas of the country, such as Tsagaan-Uur *soum* in Khuvsgul, impacts are magnified: in 2012 a major forest fire covering an area of about 120 kilometers burned over 70%

¹ Sub-district.

² *Dzud* is a Mongolian term for a severe winter in which large number of livestock die, primarily due to starvation due to being unable to graze, in other cases directly from the cold.

³ Province.

⁴ District.

⁵ Disaster risk management is a process for designing, implementing, and evaluating strategies, policies, and measures to improve the understanding of disaster risk, foster disaster risk reduction and transfer, and promote continuous improvement in disaster preparedness, response, and recovery practices, within the explicit purpose of increasing human security, well-being, quality of life, and sustainable development (Intergovernmental Panel on Climate Change).

⁶ Officially declared over as of 16 May 2016; Data from the National Emergency Management Agency and United Nations Humanitarian team as of 18 May 2016.

of its forests. Steppe fires spread quicker and wider causing significant losses of pastureland, livestock, *gers* and other assets. In 2015, Matad *soum* (Dornod) saw 15 steppe fire incidents covering 1.8 million ha of pastureland causing an estimated direct damage and ecological damage of MNT5.1 billion; 30% of Munkhkhaan *soum*'s (Sukhbaatar) territory (over 200,000 ha) burned as a result of 13 incidents in 2015.⁷

5. Climate change is expected to result in more intense and extreme weather events, increasing fire activity and decreasing the quality of fragile ecosystems and potentially resulting in more loss of life and assets. Annual mean air temperature over Mongolia has increased by 2.07° Celsius between 1940 and 2014, with the 10 warmest years in the last 70 years occurring since 1997.⁸ Annual precipitation has decreased over the same period and seasonal rainfall patterns have changed, with a gradual increase in winter precipitation and decrease in summer rain in some regions. Forest cover has decreased from 13% to 8% over the past decade. The frequency of extreme weather has doubled in the last 2 decades and is expected to increase by 23–60% by the middle of the 21st century compared to present conditions; frequency and spatial extent of forest and steppe fires have also increased since the early 1950s.⁹ Climate projections suggest extreme weather and fire trends will continue with adverse implications for human health, natural resources, arable farming and animal husbandry.

6. **DRM strategy and approach.** The Government of Mongolia (GOM) has developed a legal framework, strategy and action plan for DRM, underpinned by the 2003 Law of Mongolia on Disaster Protection, 2011 State Policy and Program on Disaster Protection Capacity, 2012 Law on Forest and the 2015 Fire Safety Law. Although current laws and policies offer a framework for disaster prevention at national and local levels, they predominantly focus on disaster preparedness and emergency response. A much-needed shift in practice is occurring towards a more holistic approach emphasizing disaster risk reduction (DRR) and community engagement as well as emergency response. The relatively newly introduced National Program of Community Participatory DRR, approved in 2015, builds on GOM's intention to develop a CBDRM approach. Successful implementation and operationalization of CBDRM will require the development of a bottom-up participatory mechanism at the local level to reflect specific circumstances and needs of individual communities, and encourage, facilitate and manage voluntary collective action.

7. **Local level DRM capacity.** There are significant challenges in implementing local DRM due to equipment and resource constraints. *Aimag*-level administrations have low capability to reduce vulnerability and organize quick and effective responses to hazard events, in part because they are often too far from the scene of a disaster. Hence, they are dependent on *soum* level administrations and *bagh* residents, who have even less capacity. At the *soum* level, financial, human and technical resources to reduce vulnerability, improve search and rescue, and provide acceptable emergency services are inadequate. Individual communities similarly have limited access to relevant tools and capabilities for fire prevention and fighting, including at the household level, and insufficient infrastructure to manage *dzud* and other extreme weather events. In consequence, communities remain highly vulnerable to natural hazards.

8. **Institutional setup.** Although there are plenty of government actors responsible for

⁷ *Soum* governor's office data, verified by Dornod Local Emergency Management Agency.

⁸ UNFCCC. 2015. The Intended Nationally Determined Contributions for Mongolia.

⁹ Amy Hessel et al. 2012. 'Reconstructing Fire History in Central Mongolia from Tree-Rings. *International Journal of Wildland Fire*. 21. 86–92.

DRM, efforts have been poorly coordinated due to lack of technical capabilities, untimely due to inadequate technology for hazard mapping and communication, and narrowly focused around emergency response. The State Emergency Commission (SEC) is the primary body responsible for DRM in Mongolia. Chaired by the Deputy Prime Minister, with members from key ministries, it is activated in response to emergencies to lead response and mobilize funds required for response, recovery, and rehabilitation. The National Emergency Management Agency (NEMA) is the operational arm supporting SEC, including in roles of interdepartmental and interagency planning, oversight, coordination and direct support in the event of a disaster. NEMA is present in the capital and, through its branch office Local Emergency Management Agencies (LEMAs), in all 21 *aimags*. It has around 3,200 emergency personnel across Mongolia and access to emergency resources. The LEMAs function as implementing agencies under *aimag* governors and are responsible for leading DRM in their administrative areas. *Soum* volunteer groups form the lowest level of DRM administration. Despite having wide geographic and administrative presence, the current DRM institutional apparatus – NEMA, LEMAs and *soum* governor offices – lacks capacity, equipment, and funding constraints. Moreover, skill sets are orientated largely around emergency response, while there is limited knowledge about DRR or CBDRM.

9. **Strategic fit.** The proposed project seeks to support Dornod, Gobi-Altai, Khuvsgul and Sukhbataar *aimags* in strengthening *dzud* and forest and steppe fire risk management capacity of national, *aimag* and *soum* level administration, and local communities. It is designed to complement Asian Development Bank's (ADB) support for the 2015-2016 *dzud*, during which more than 3% of livestock in each of Dornod, Gobi-Altai and Khuvsgul *aimags* died, by aiming to increase midterm and long-term resilience through the introduction and implementation of innovative localized DRM actions to reduce vulnerability and strengthen response capacity of herders and other local communities. The project is consistent with ADB's Interim Country Partnership Strategy for Mongolia, 2014–2016,¹⁰ which states that climate-related disasters with high socioeconomic costs (particularly for herders) have doubled in frequency. It will complement NEMA's efforts to implement the 2015 National Program of Community Participatory DRR. It converges with ADB's Operational Plan for Integrated DRM, 2014–2020¹¹ that aims to operationalize DRM and strengthen developing member countries' DRM capabilities, knowledge, and resources to reduce disaster risk and respond to disaster events in a timely, cost-efficient manner; and ADB's Operational Plan for Agriculture and Natural Resources, 2015-2020 that aims to enhance management and climate resilience of natural resources.¹² The project is proposed as a grant based on GOM's pro-poor, community-based approach and included in ADB's pipeline as 2016 firm.¹³

10. **Sector context.** Significant development partner engagement in DRM in Mongolia began in response to the 1999–2002 *dzud*, in which 8.8 million livestock perished. This has since evolved into a broader DRM approach, going beyond top down emergency actions and immediate preparedness. In the aftermath of the 1999–2002 *dzud*, United Nations Development Programme (UNDP) began the first phase of a project on Disaster Mitigation and Management System in Mongolia (2002), based on a lesson-learning event from the *dzud*. This program is now in its fourth phase and has focused particularly on strengthening capacity building, planning, coordination, and awareness-raising. Other partners, in particular the Swiss Agency for Development and Cooperation (SDC) and World Bank, have supported initiatives

¹⁰ ADB. 2014. *Interim Country Partnership Strategy: Mongolia, 2014–2016*. Manila.

¹¹ ADB. 2014. *Operational Plan for Integrated Disaster Risk Management, 2014–2020*. Manila.

¹² ADB. 2014. *Operational Plan for Agriculture and Natural Resources, 2015–2020*. Manila.

¹³ ADB. 2016. *Country Operations Business Plan: Mongolia, 2016*. Manila.

strengthening pasture risk management and sustainable livelihoods in rural areas to enhance *dzud* risk management and have established an index-based livestock insurance program to cover herders against *dzud*-related livestock mortality. There is further opportunity to work towards midterm and long-term resilience of communities to disaster risk.

11. **Lessons.** The project design has incorporated lessons from international and national best practices in DRM and Poverty Reduction through Community-Based Natural Resource Management, Establishment of Climate-Resilient Rural Livelihoods and *Dzud* Disaster Response Projects,¹⁴ such as the importance of: (i) operationalizing mechanisms for voluntary collective action of herder communities improves efforts in CBDRM; (ii) forming community groups from a livelihood-agnostic perspective so that they sit within formal government DRM structures and plans, and can take a multi-hazard approach; (iii) moving away from the existing focus on disaster response capabilities to a more holistic one emphasizing DRR; and (iv) closing the gap on national and local government and community capacity, equipment and funding constraints for DRM, including limited access to relevant fire prevention and fighting tools and insufficient infrastructure to manage extreme weather events.

B. Impact and Outcome

12. The expected project impacts are: (i) enhanced national safety through risk and vulnerability reduction, and strengthened disaster management; and (ii) strengthened disaster resilience in developing member countries. The expected outcome is strengthened capacity of local *bagh* residents and national and local DRM administration units to manage risks from *dzud* and forest and steppe fires.

C. Outputs and Key Activities

13. **Output 1: *Bagh* neighborhood group CBDRM action plans prepared.** Output 1 will focus on operationalizing CBDRM at *soum* and *bagh* level, involving *bagh* neighborhoods (including households in *soum* centers). Under this output: (i) 100 *bagh* neighborhood groups across the 12 project *soums* will be formed (ii) *bagh*-level disaster risk assessments will be conducted based on (a) community consultations with *bagh* neighborhood groups to understand local disaster risk perceptions, coping mechanisms and approaches and (b) existing secondary disaster and climate-risk information; (iii) gender inclusive training and awareness activities for CBDRM, especially for poor and vulnerable groups, will be conducted; and (iv) CBDRM action plans for *bagh* neighborhood groups in project *soums* will be developed, (a) identifying localized infrastructure and equipment needs, communication protocols, training needs and emergency actions and (b) prioritizing actions for implementation under the project.

14. **Output 2: Small-scale infrastructure, equipment, and technology for disaster resilience piloted.** Output 2 will focus on equipping communities adequately with infrastructure, equipment and technology for increased resilience to *dzuds* and forest and steppe fires risks at *bagh* and *soum* levels. Under this output: (i) small-scale disaster and climate resilient structures, such as improved fodder storage warehouses and livestock shelters and firebreaks will be built by *bagh* neighborhood groups, using locally sourced materials where possible; (ii) wells will be

¹⁴ ADB. 2008. *Grant Assistance to Mongolia for Poverty Reduction Through Community-Based Natural Resource Management*. Manila; ADB. 2010. *Grant Assistance to Mongolia for Dzud Disaster Response Project*. Manila; and ADB. 2012. *Grant Assistance to Mongolia for Establishment of Climate-Resilient Rural Livelihoods*. Manila.

rehabilitated or constructed in areas with high risk of drought and *dzud* for use by *bagh* neighborhood groups; (iii) demonstrations for building small-scale structures emphasizing concepts of collective community ownership and sustainable operation and maintenance will be conducted for *bagh* neighborhood group beneficiaries; (iv) *bagh* neighborhood groups will receive packages of firefighting tools, such as handheld blowers, water tanks and personal protective gear. Two pilot demonstrations will be conducted: (i) rehabilitation of low-capacity community irrigation systems for vegetable growing and haymaking in a Gobi-Altai *soum* to demonstrate the link between sustainable alternative livelihood options and increased disaster resilience; and (ii) design and piloting of a forest fire early warning system in two Khuvsgul *soums*, to support timelier, more effective response to fire outbreak and reduce loss of life and assets.

15. Output 3: CBDRM capacity of NEMA, LEMAs, and *soum* administrations strengthened. Output 3 will focus on improving capacity of NEMA, LEMAs, and *soum* administrations for supporting and carrying out CBDRM. Under this output: (i) trainings will be designed and delivered to (a) *soum* administration, LEMA, and NEMA staff on the role of *bagh* neighborhood groups in disaster resilience, and (b) NEMA and LEMA trainers on concepts of disaster resilience and CBDRM; (ii) NEMA's geographic information system (GIS) capabilities will be built through (a) upgrading of the current disaster database, including communications capacity among NEMA, LEMAs, and *soums*, and (b) training of NEMA and LEMA staff on system use and application of remote sensing; (iii) risk reduction and emergency response equipment will be provided for improved communication, search and rescue, and unblocking road access to remote areas. Priority needs will be identified together with NEMA, LEMAs, local emergency commission and *soum* governors' offices. Project lessons will be disseminated to showcase experience, successes and lessons learned through (i) developing and implementing a project communication outreach strategy, including site visits, (ii) hosting an end-of-project project symposium, and (iii) developing knowledge products.

16. The project will take a phased approach: CBDRM action plans prepared under Output 1 will identify small-scale infrastructure and response capacity needs to be developed and piloted under Output 2, and scope of training needs under Output 3. Once *bagh* neighborhood group action plans are endorsed by *bagh* governors, infrastructure, equipment, and technology needs identified and prioritized in the action plans in Output 1 will be implemented under Output 2.

17. Project management. NEMA lacks the personnel and resources needed to fully implement the project. The grant proceeds will: (i) establish the administrative framework for the project, including a project steering committee (PSC) and project implementation unit (PIU); and (ii) finance the specialist support and PIU operational costs required to implement Outputs 1–3.

18. Sustainability, scalability and replicability. Sustainable design measures include community-based participatory approaches to DRM, holistic top-down and bottom-up planning processes, the integration of long-term multi-hazard DRM planning into *soum* emergency plans and LEMA operations, capacity building at all administrative levels and simple replicable models for disaster and climate-resilient facilities and emergency response mechanisms. Under Output 1 CBDRM action plans prepared by neighborhood groups in each *bagh* will be submitted to *soum* administration for integration with *soum* emergency response plans, reviewed and renewed at project completion. Under Output 2 small-scale infrastructure provided to *bagh* neighborhood groups to implement their DRM plan will last for at least 20 years beyond the project. Under Output 3, strengthened CBDRM and rapid response capabilities in NEMA and LEMAs are in close alignment with GOM's aim to develop a more comprehensive and vertically integrated DRM approach. Given the pilot nature of the grant, many activities have potential for replication and scale-up to other areas. In particular: (i) the process for developing and

implementing community-based DRM plans by *bagh* neighborhood groups can be rolled-out across Mongolia; (ii) the pilot early warning system for forest fires can later be scaled-up in all Khuvsgul *soums* as well as other forested *aimags*; and (iii) improvements to the NEMA disaster database can be expanded to be used by LEMAs in non-project *aimags* and by other agencies.

II. IMPLEMENTATION PLANS

A. Project Readiness Activities

Indicative Activities	2016				Responsible Agency(s)
	Jul	Aug	Sep	Oct	
Grant negotiations					ADB, MOF, NEMA
Establish project implementation arrangements					NEMA, MOF
Advance contracting actions					ADB
ADB approval					ADB, MOF
Grant signing					MOF
Government legal opinion provided					ADB
Grant effectiveness					

ADB = Asian Development Bank, MOF = Ministry of Finance, NEMA = National Emergency Management Agency
 Source: Asian Development Bank estimates.

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

Components and Activities	2016			2017												2018												2019											
	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S			
4.6 Recruit and appoint PIU project coordinator, finance specialist, and procurement specialist ^{a/}																																							
4.7 Recruit and appoint soum field officer ^{b/}																																							
4.8 Recruit and appoint consultants with specialty skills ^{b/}																																							
4.9 Purchase transportation for PIU																																							
4.10 Purchase office and computer equipment for PIU																																							
4.11 Hold regular project steering committee meetings																																							
5. Reports																																							
5.1 Inception																																							
5.2 Quarterly reports																																							
5.3 Annual reviews																																							
5.4 Mid-term review																																							
5.5 Project completion report																																							

^{a/} Done in July to September 2016.

^{b/} Done in July to August 2016.
Source: Asian Development Bank.

III. PROJECT MANAGEMENT ARRANGEMENTS

A. Project Implementation Organizations – Roles and Responsibilities

Executing agency: NEMA	<ul style="list-style-type: none"> Assumes overall accountability and responsibility for project planning, management, and implementation of project outputs Ensures timely and effective execution of the grant agreement Daily coordination with the PIU Co-signs approval for withdrawal application from project imprest account (with MOF) Input relevant project documents in MOF's ODA-MIS system Submits progress reports to ADB and MOF Facilitate project activities e.g., meetings and trainings with <i>soum</i> government, communities Facilitates auditing of project accounts Review PIU progress reports Establishes and chairs the PSC Overall guidance and support to the PIU Provides timely policy support
Oversight body: PSC	<ul style="list-style-type: none"> Comprises 8 members: Director General of NEMA (Chair), representatives of 4 project <i>aimag</i> governments (one per <i>aimag</i>), representative of MOF, representative of MET, representative of MOFA, and observers embassy of Japan, UNDP, and ADB Reviews and assesses project implementation progress and plans Provides advice on policy matters related to the project Meets at least semi-annually
PIU:	<ul style="list-style-type: none"> Assumes direct accountability and responsibility for implementation of project outputs 1–3 Supports the executing agency for daily project coordination, planning, implementation, financial management, and procurement Monitors project progress, including periodic site inspections and compliance with PAM, GAP, and other project documents Input relevant project documents in MOF's ODA-MIS system Submits semi-annual progress reports to executing agency, MOF and ADB Coordinates the preparation and delivery of any domestic environmental or social safeguard requirements Facilitates project stakeholder activities e.g., meetings and trainings with <i>soum</i> government, communities Comprises a project coordinator, finance specialist, procurement specialist, 12 <i>soum</i> Field Officers and technical consultants.
ADB	<ul style="list-style-type: none"> Oversees project administration and timely execution of the grant agreement by the executing and implementing agencies Disburses loan proceeds Reviews and, as needed, approves procurement, consultant recruitment, progress reports, and audit reports Reviews project compliance and targets against the DMF, GAP and PAM

	<ul style="list-style-type: none"> • Monitors project progress and conducts review missions • Disclose monitoring reports on ADB public website • Observer to the project steering committee
Coordination with EOJ in Mongolia, JICA, and ADB's OCO–Japan team	
	<ul style="list-style-type: none"> • Invite EOJ, JICA, and OCO–Japan team to project events and missions (for OCO, inform up to 4 months ahead) • Inform on project progress and provide key reports and materials • Inform and/or discuss potential changes in scope • Respond to inquiries and/or information requests • Support donor visibility for dissemination of outcomes and lessons
Other participating agencies	
MOF	<ul style="list-style-type: none"> • Represents GOM for grant negotiations • Signs grant agreement and project approval on behalf of GOM • Co-signs withdrawal applications from project imprest account together with NEMA • Reviews project progress and/or audit reports as needed
MET	<ul style="list-style-type: none"> • Responsible for national environmental planning, conducting GEIAs, and assessment of DEIAs • For this project, will assess the need for GEIAs for project activities and assist in revising designs such that no GEIAs are required • Provides advice and approvals for certain forestry activities to be undertaken by the project
MOFA	<ul style="list-style-type: none"> • Provides advice and approvals for certain livestock and veterinary activities to be undertaken by the project
<i>Aimag</i> governor's office	<ul style="list-style-type: none"> • <i>Aimag</i>-level support and coordination • Coordination of the participating <i>soum</i> governments
<i>Soum</i> government officers – agricultural, environment, and forestry technicians	<ul style="list-style-type: none"> • The project <i>soums</i> will be represented by at least one counterpart officer per <i>soum</i> • Participate in project planning and training • Facilitate coordination between <i>soum</i>, community, and project • Report project progress to the <i>soum</i> governments
CSOs and other donors	<ul style="list-style-type: none"> • Project will collaborate and coordinate with existing donor efforts, including forest user groups (FUGs), pasture user groups (PUGs) and herder groups in the project areas
	•
	•

ADB = Asian Development Bank, CSO = civil society organization, DMF = design and monitoring framework, EOJ = Embassy of Japan, PAM = project administration manual, GAP = gender action plan, GOM = Government of Mongolia, GRM = grievance redress mechanism, JFPR = Japan Fund for Poverty Reduction, JICA = Japan International Cooperation Agency, MET = Ministry of Environment and Tourism, MOF = Ministry of Finance, MOFA = Ministry of Food and Agriculture, NEMA = National Emergency Management Agency, OCO = Office of Cofinancing Operations, PIU = project implementation unit, PSC = project steering committee, UNDP = United Nations Development Programme.

Source: Asian Development Bank.

B. Key Persons Involved in Implementation

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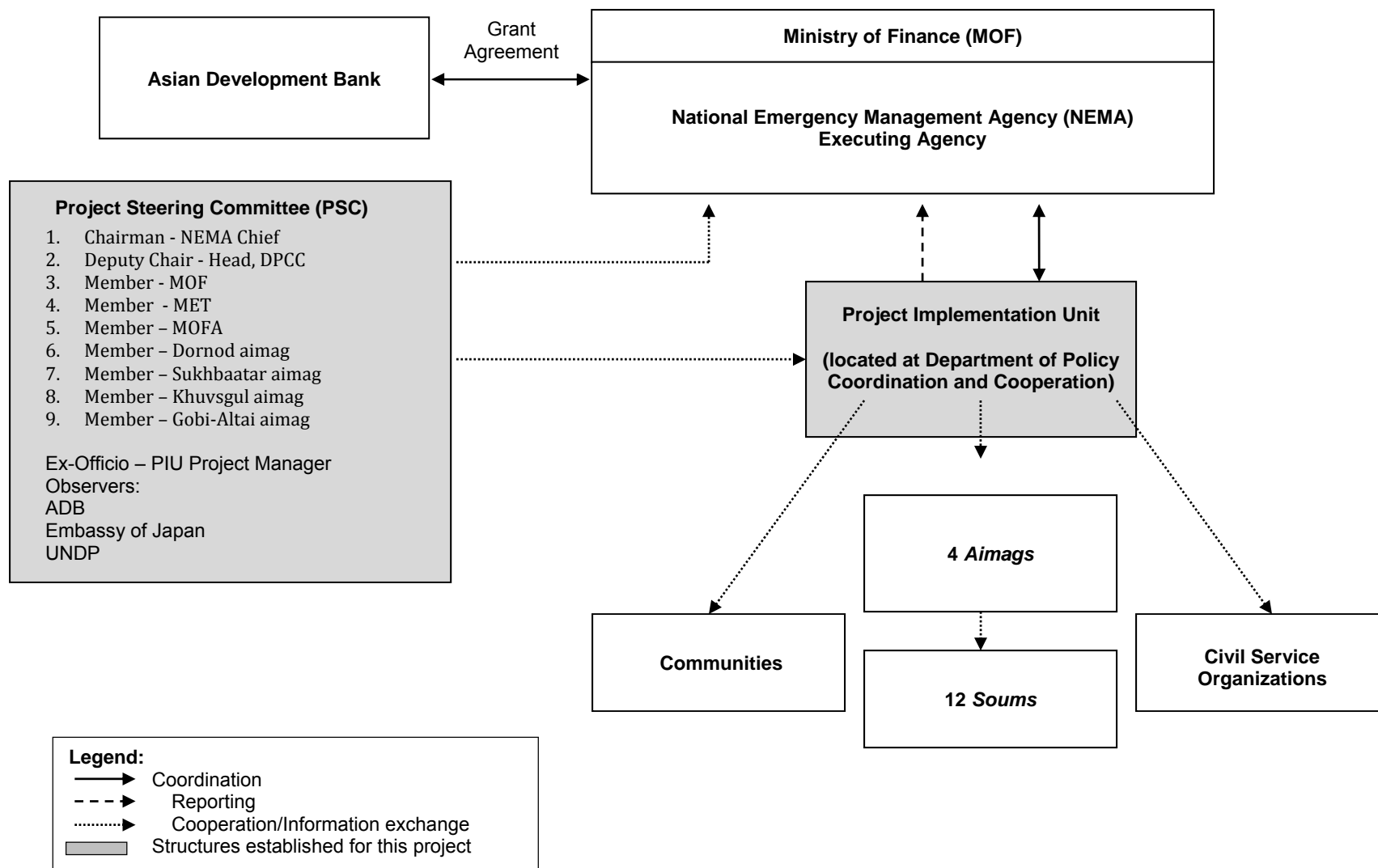
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C. Project Organization Structure



D. Grant Management

19. The project will be implemented over a period of 3 years from November 2016 to October 2019.¹⁵ NEMA will be the executing agency. It will establish a project implementation unit (PIU) at its Policy Coordination and Cooperation Department (PCCD). The PIU, supported by a team of full-time staff and part-time consultants, will support the executing agency to implement the project. NEMA branches at the *aimags* (LEMAs) will work closely with *aimag* governors' offices to utilize existing institutional structures and resources (including experts from Ministry of Health, Ministry of Environment and Tourism (MET), and Ministry of Food and Agriculture (MoFA). *Soum* governor office capacity will be leveraged for implementation at *soum* and *bagh* levels.

20. The PIU will be responsible for daily implementation of the project. The PIU will comprise a team of full-time and part-time consultants recruited for the project, including a project coordinator, a disaster risk management specialist (deputy manager), finance specialist, procurement officer, a *soum* field officer to coordinate the project in each of the 12 *soums* in the project, a social and gender specialist, monitoring and evaluation specialist and other short term technical specialist consultants. The PIU will represent the executing agency and will lead the coordination, planning, and implementation of the project targets and requirements for administration, monitoring, and reporting. The PIU team will be based at NEMA's offices in Ulaanbaatar.

21. A project steering committee (PSC) will be established by the Chief of NEMA's office to provide oversight to the executing agency and PIU during project implementation. It will be chaired by the Chief of NEMA. Its members will include representatives of Ministry of Finance (MOF), MET, MOFA and (4) project *aimag* governors. The PIU project coordinator may be an ex-officio member. Embassy of Japan project coordinator (EOJ), ADB and relevant development partners will be invited to participate as observers. The PSC will review and assess project implementation progress and plans, and will advise on policy matters related to the project, and meet at least semi-annually.

22. The PIU will work with other government agencies as required, and target communities. In particular, two other agencies will play a role in the project, as follows: (i) MET will bring expertise and regulatory authority in forestry; and (ii) MOFA will bring expertise in veterinary science and livestock management.

IV. COSTS AND FINANCING

A. Cost Estimates and Financing Plan

23. The project is estimated to cost \$3.0 million (Table 1). The Japan Fund for Poverty Reduction (JFPR) will provide grant equivalent to \$3.0 million, to be administered by ADB. Taxes and duties are included in the base cost. The executing agency will provide in-kind counterpart support in the form of office space, workshop and training venues and staff time for project implementation; at the *aimag* and *soum* level, staff time and desk space will also be made available.

¹⁵ The project is included in ADB's grant pipeline as 2016 firm.

Table 1: Cost Estimates
(\$ million)

Item	Amount ^a	Share of Total
A. Base Cost^b		
1. <i>Bagh</i> neighborhood group CBDRM action plans prepared	408,620	14%
2. Small-scale infrastructure, equipment, and technology for disaster resilience piloted	1,253,881	42%
3. CBDRM capacity of NEMA, LEMAs, and <i>soum</i> administrations strengthened	441,070	15%
Project management	633,700	21%
Subtotal (A)	2,737,271	
B. Contingencies^c	262,729	9%
Total (A+B)	3,000,000	100%
Administrative Budget Support^d	90,000.00	

CBDRM = community-based disaster risk management, NEMA = National Emergency Management Agency, LEMA = Local Emergency Management Agency.

^a Includes taxes and duties of \$0.17 million to be financed from ADB grant. The amount of taxes and duties are determined on the grounds that (i) the amount will not represent an excessive share of the project investment plan, (ii) the taxes and duties apply only to ADB-financed expenditures, and (iii) the financing of taxes and duties are relevant to the success of the project. Excludes in-kind contributions of \$0.20 million to be provided by the National Emergency Management Agency. Includes costs associated with implementing relevant safeguards and gender action plans. Includes estimated audit fees of \$29,240 for the audit of the annual project financial statements for the period 2017–2019 to be financed from grant resources.

^b In 2016 prices as of 15 April 2016.

^c Price contingencies computed on all costs except international and national consultants, based on cost escalation factors of 7.0% for 2017–2019 for local currency costs; 1.4% for 2017, and 1.5% for 2018–2019 on foreign exchange costs; and 10% for national consultant fee rates in 2019.

^d This additional budget support for grant implementation is provided under Japan Fund for Poverty Reduction's administrative budget and is exclusive of the grant amount.

Source: Asian Development Bank estimates.

24. Cost categories are given below in Table 2.

Table 2: Description of Cost Categories

Category	Description
Civil Works	(i) wells for communities in Gobi-Altai <i>aimag</i> ; (ii) rehabilitate irrigation system for growing grass for hay in Sharga <i>soum</i> , Gobi-Altai <i>aimag</i> ; (iii) rehabilitate irrigation system for growing vegetables in Sharga <i>soum</i> in Gobi-Altai <i>aimag</i>
Goods and Services	(i) firefighting equipment for <i>bagh</i> neighborhood groups; (ii) personal protective gear for <i>bagh</i> neighborhood groups; (iii) materials for <i>bagh</i> neighborhood groups to build animal shelters and forage storage facilities; (iv) cut fire breaks in <i>soums</i> subject to steppe fires or forest fires; (v) large water tanks for fire breaks; (vi) scoping study for early warning system on natural disasters; local transport; (vii) improve NEMA GIS driven disaster data base; (viii) equipment for LEMAs and <i>soum</i> administrations to fight fires, (ix) equipment for LEMAs to open roads during emergencies; (xii) personal protective equipment for LEMA staff; (ix) vehicle for use by project staff and consultants; (x) motorcycles for use by project staff and consultants in <i>soums</i> ; (xi) computers, printers, copiers; (xii) office furniture and cabinets;
Training	(i) Training for <i>bagh</i> neighborhood groups; (ii) training for <i>soum</i> administrations on CBDRM and the role of <i>bagh</i> neighborhood groups; (iii) training for NEMA and LEMA super-users of NEMA GIS disaster data base; (iv) training for LEMA staff on CBDRM and disaster resilience; (iv) training for NEMA, LEMAs, and <i>soum</i> administrations on project management functions for an ADB project

Category	Description
Consulting Services	(i) fees for local consultants (20); (ii) fees for international consultant (1); (iii) annual financial audit; (iv) per diems for consultants
Project Management	(i) Project planning and team meetings;; (ii) stakeholder communications; (iii) knowledge products; (iv) outreach program (site visits); (v) local travel for project staff from LEMAs and <i>soum</i> administrations; (vi) project office operations; (vii) project vehicle operations; (viii) in-kind contributions from central government
Unallocated	Physical and price contingencies

Source: Asian Development Bank.

25. Cost estimates include the purchase of one car and twelve motorbikes for project use. There is strong justification for the purchase of vehicles: (i) there are 12 project sites across 4 far flung *aimags* in the eastern and western parts of the country; (ii) all project areas are located a long distance from Ulaanbaatar; (iii) there will be frequent transport (a trip to each of the 12 *soums* across the 4 *aimags* once every quarter at the minimum and from time to time for special consultations, monitoring of certain activities, etc.) of project staff and equipment between Ulaanbaatar and the project areas; (iii) the project is working across 12 *soums* and where there is little public transport – project vehicles will be critical for implementation; and (iv) vehicle rental over 3 years would be more expensive than purchase. Upon project completion and in accordance with ADB's guidelines, the project car will be handed over to one of the LEMAs in the four project *aimags*, and the motorbikes to either each of the 12 *soum* governor's offices or the LEMAs or local fire units in the four *amags*, for use for emergency response and disaster resilience. The executing agency has been informed on conditions and use of the PIU vehicle which are specifically for the use of PIU staff to get to project site, monitor project activities and attend project-related meetings. At the end of the project, ownership of the project vehicle and 12 motorbikes will be transferred to LEMAs or local firefighting units within one of the 4 project *aimags*. Specific details will be determined at project completion. NEMA will suggest which LEMA or fire units along with adequate justification for ADB / JFPR approval.

Table 3: Distance Matrix

<i>Aimag</i>	<i>Soum</i>	Distance from Ulaanbaatar to <i>aimag</i> center (km)	Distance from <i>aimag</i> center to <i>soum</i> center (km)	Distance from UB to <i>soum</i> center
Gobi-Altai	Darvi	1,005	220	1225
	Sharga	1,005	89	1094
	Altai	1,005	365	1370
Dornod	Bulgan	655	50	705
	Khulunbuir	655	123	778
	Matad	655	150	805
	Tsagaan-Ovoo	655	120	775
Sukhbaatar	Tumentsogt	560	140	700
	Sukhbaatar	560	54	614
	Munkhkhaan	560	103	663
Khuvsgul	Ulaan-Uul	800	171	971
	Tsagaan-Uur	800	180	980

26. **Administrative Budget Support.** Administrative budget support of 3% of the total grant amount (\$90,000), exclusive from the project grant, will be provided given the unusual complexity of the project (local *bagh*-level activities in 12 very remote and far away *soums*) which warrants additional resources beyond those provided by the regular administration

budget. This budget will be financed from the JFPR administrative budget, not from the project grant. The administrative budget support will be used to (i) hire a staff consultant to provide overall support to ADB as well as the government's EA in project implementation, if and when needed and deemed necessary by the implementing project officer, to (a) monitor and evaluate activities and project progress beyond the regular progress checks conducted by the ADB staff team and resources, (b) evaluate status and progress of the *bagh* neighborhood CBDRM action plans, (c) monitor the project's outreach to the intended beneficiaries, (d) conduct periodical community level consultations; (e) review performances of the project executing agency, PIU and consultants to ensure intended outputs are delivered on time; (ii) knowledge product development and dissemination, including a written impact report, multi-media story (video or pictorial), and organization of the final project completion symposium for showcasing success and sharing lessons learnt; and (iii) facilitate community participation or CSO collaboration in consultations, field activities, or the final project completion symposium planned. Final details will be confirmed during inception.

27. The special administrative budget support will be administered by ADB. The processing and implementing project officer will manage and track the utilization of the administration budget support and will provide the Office of Cofinancing Operations (OCO) on a periodic basis (annual) an update of its utilization. Any deviation from the proposed expenditures should be consulted with, and endorsed by OCO.

Table 4: Administrative Budget Support Details

Administrative Budget Support	Details
Total amount requested	\$ 90,000
Justification	Unusual complexity of the project (local <i>bagh</i> -level activities in 12 very remote and far away <i>soums</i>) that warrants additional resources beyond those provided by the regular administration budget.
Type of work to be rendered by ADB	<p><u>Staff consultants</u> to provide overall support to ADB and the EA in project implementation, if and when needed and deemed necessary by the implementing project officer, to (a) monitor and evaluate activities and project progress beyond the regular progress checks conducted by the ADB staff team and resources, (b) evaluate status and progress of the <i>bagh</i> neighborhood CBDRM action plans, (c) monitor the project's outreach to the intended beneficiaries, (d) conduct periodical community level consultations; (e) review performances of the project executing agency, PIU and consultants to ensure intended outputs are delivered on time. Detailed terms of reference will be prepared after inception to match requirements. Staff consultants will be recruited according to ADB's Guidelines on the Use of Consultants (April 2013, and as amended from time to time).</p> <p><u>Knowledge development and information dissemination</u> (knowledge products and symposium) – to organize in-country project completion symposium to disseminate project outcomes, in particular, best practices and lessons learned for community-based disaster risk management. Development of knowledge products and communication materials will include written output (such as an impact report, "before and after" story) and possibly a multi-media story (a video of the beneficiary communities or pictorial). Up to 5 resource persons may be engaged for this.</p> <p><u>Facilitate community participation or CSO collaboration</u> in consultations, field activities or the final project completion symposium planned. This may include supporting traveling and per diem for participation of local communities in the project completion symposium.</p>

ADB = Asian Development Bank, CBDRM = community-based disaster risk management, CSO = civil society organization, EA = executing agency, PIU = project implementation unit.

Source: ADB

Table 5: Cost Estimate of Administrative Budget Support

Expenditure Category	Quantity	Unit Cost (\$)	Total (\$)
Staff Consultant (International/Local)	1 person-month international (intermittent)	25,000	25,000
	2 person-months national (intermittent)	4,000	8,000
	3 resource persons (intermittent)	7,000	21,000
Stakeholders meetings and consultations	N/A	-	6,000
Monitoring and evaluation activities	N/A	-	10,000
Public Campaigns and other dissemination related activities	N/A	-	15,000
Contingency	N/A	-	5,000
Total Cost			90,000

Source: Asian Development Bank estimates.

B. Allocation and Withdrawal of Grant Proceeds

Table 6A: Allocation and Withdrawal of Grant Proceeds

Number	Item	Total Amount Allocated for ADB Financing (\$)	Basis for Withdrawal from the Grant Amount
		Category	
1	Works, Goods, Services, Training, Consulting Services and Project Management	3,000,000	100% of total expenditure claimed
	Total	3,000,000	

Source: Asian Development Bank estimates.

Table 6B: Breakdown of Category 1

Item	Total Amount Allocated for ADB Financing (\$)	Percentage and Basis for Withdrawal from the Loan Account
Civil Works	173,516	100% of total expenditure
Goods and Services	1,340,940	100% of total expenditure
Training	94,120	100% of total expenditure
Consulting Services	796,649	100% of total expenditure
Project Management	332,046	100% of total expenditure
Unallocated	262,729	100% of total expenditure
Total	3,000,000	

ADB = Asian Development Bank.

Source: ADB estimates.

C. Detailed Cost Estimates by Financier

Item	ADB Amount	%	Government Amount	%	Total Amount	%
A	Base costs ^b					
1	Civil Works	173,516	100.0		173,516	5.8
2	Goods and Services					
2a	Vehicles	84,260	100.0		84,260	2.8
2b	Equipment	810,268	100.0		810,268	27.0
2c	Other Goods and Services	446,412	100.0		446,412	14.9
	Subtotal Goods and Services	1,340,940			1,340,940	
3	Training	94,120	100.0		94,120	3.1
4	Consulting Services					
4a	Local	446,450	100.0		446,450	14.9
4b	International	350,199	100.0		350,199	11.7
	Subtotal Consulting Services	796,649			796,649	
5	Project Management					
5a	ADB financing	332,046	100.0		332,046	11.1
5b	Government financing			0	0	0.0
	Subtotal Project Management	332,046		0	332,046	
	Subtotal A	2,737,271	100.0	0	2,737,271	91.2
B	Contingencies ^c					
	Physical	122,867	100.0		122,867	4.1
	Price	139,863	100.0		139,863	4.7
	Subtotal B	262,729	100.0		262,729	8.8
	Total Project Cost (A+B)	3,000,000	100.0	0	3,000,000	100.0

^a Includes taxes and duties of \$0.17 million to be financed from ADB grant. The amount of taxes and duties are determined on the grounds that (i) the amount will not represent an excessive share of the project investment plan, (ii) the taxes and duties apply only to ADB-financed expenditures, and (iii) the financing of taxes and duties are relevant to the success of the project. Excludes in-kind contributions of \$0.20 million to be provided by the National Emergency Management Agency. Includes costs associated with implementing relevant safeguards and gender action plans. Includes estimated audit fees of \$29,240 for the audit of the annual project financial statements for the period 2017–2019 to be financed from grant resources.

^b In 2016 prices as of 15 April 2016.

^c Price contingencies computed on all costs except international and national consultants, based on cost escalation factors of 7.0% for 2017–2019 for local currency costs; 1.4% for 2017, and 1.5% for 2018–2019 on foreign exchange costs; and 10% for national consultant fee rates in 2019.

Source: Asian Development Bank estimates.

D. Detailed Cost Estimates by Output

Item	Output 1: <i>Bagh</i> neighborhood group CBDRM action plans prepared	Output 2: Small-scale infrastructure, equipment, and technology for disaster resilience piloted	Output 3: CBDRM capacity of NEMA, LEMAs, and <i>soum</i> administrations strengthened	Project Management	Total ^a
A. Base Costs^b					
1. Civil Works		173,516			173,516
2. Goods and services					
2a. Vehicles				84,260	84,260
2b. Equipment		492,054	266,470	51,744	810,268
2c. Other goods and services		424,632		21,780	446,412
Subtotal		916,686	266,470	157,784	1,340,940
3. Training	20,320		66,800	7,000	94,120
4. Consulting services					
4a. National	220,150			226,300	446,450
4b. International	148,020	163,679	38,500		350,199
Subtotal	368,170	163,679	38,500	226,300	796,649
5. Project management					
5a. ADB financing	20,130		69,300	242,616	332,046
5b. Government financing					
Subtotal	20,130		69,300	242,616	332,046
Subtotal A	408,620	1,253,881	441,070	633,700	2,737,271
B. Contingencies^c					
Physical		93,658	22,892	6,316	122,867
Price	9,462	60,721	26,505	43,174	139,863
Subtotal B	9,462	154,379	49,398	49,490	262,729
C. Total (A+B)	418,082	1,408,260	490,468	683,190	3,000,000

^a Includes taxes and duties of \$0.17 million to be financed from ADB grant. The amount of taxes and duties are determined on the grounds that (i) the amount will not represent an excessive share of the project investment plan, (ii) the taxes and duties apply only to ADB-financed expenditures, and (iii) the financing of taxes and duties are relevant to the success of the project. Excludes in-kind contributions of \$0.20 million to be provided by the National Emergency Management Agency. Includes costs associated with implementing relevant safeguards and gender action plans. Includes estimated audit fees of \$29,240 for the audit of the annual project financial statements for the period 2017–2019 to be financed from grant resources.

^b In 2016 prices as of 15 April 2016.

^c Price contingencies computed on all costs except international and national consultants, based on cost escalation factors of 7.0% for 2017–2019 for local currency costs; 1.4% for 2017, and 1.5% for 2018–2019 on foreign exchange costs; and 10% for national consultant fee rates in 2019.

Source: Asian Development Bank estimates.

E. Estimated Disbursement Schedule by Year

Item	2016	2017	2018	2019	Total ^a
A. Base Costs^b					
1 Civil Works		173,516			173,516
2 Goods and Services					
2a. Vehicles		84,260			84,260
2b. Equipment		810,268			810,268
2c. Other Goods and Services	1,815	431,892	7,260	5,445	446,412
Subtotal Goods and Services	1,815	1,326,420	7,260	5,445	1,340,940
3 Training		64,120		30,000	94,120
4 Consulting Services					
4a. Local	30,300	164,650	141,850	109,650	446,450
4b. International		137,180	213,019		350,199
Subtotal Consulting Services	30,300	301,830	354,869	109,650	796,649
5 Project Management					
5a. ADB financing	18,962	106,549	103,368	103,168	332,046
5b. Government financing					
Subtotal Project Management	18,962	106,549	103,368	103,168	332,046
Subtotal A	51,077	1,972,434	465,497	248,263	2,737,271
B. Contingencies^c					
1 Physical	156	121,619	624	468	122,867
2 Price		76,662	21,090	42,111	139,863
Subtotal B	156	198,282	21,713	42,578	262,729
C. Total Project Cost (A+B)	51,233	2,170,716	487,210	290,841	3,000,000

^a Includes taxes and duties of \$0.17 million to be financed from ADB grant. The amount of taxes and duties are determined on the grounds that (i) the amount will not represent an excessive share of the project investment plan, (ii) the taxes and duties apply only to ADB-financed expenditures, and (iii) the financing of taxes and duties are relevant to the success of the project. Excludes in-kind contributions of \$0.20 million to be provided by the National Emergency Management Agency. Includes costs associated with implementing relevant safeguards and gender action plans. Includes estimated audit fees of \$29,240 for the audit of the annual project financial statements for the period 2017–2019 to be financed from grant resources.

^b In 2016 prices as of 15 April 2016.

^c Price contingencies computed on all costs except international and national consultants, based on cost escalation factors of 7.0% for 2017–2019 for local currency costs; 1.4% for 2017, and 1.5% for 2018–2019 on foreign exchange costs; and 10% for national consultant fee rates in 2019.

Source: Asian Development Bank estimates.

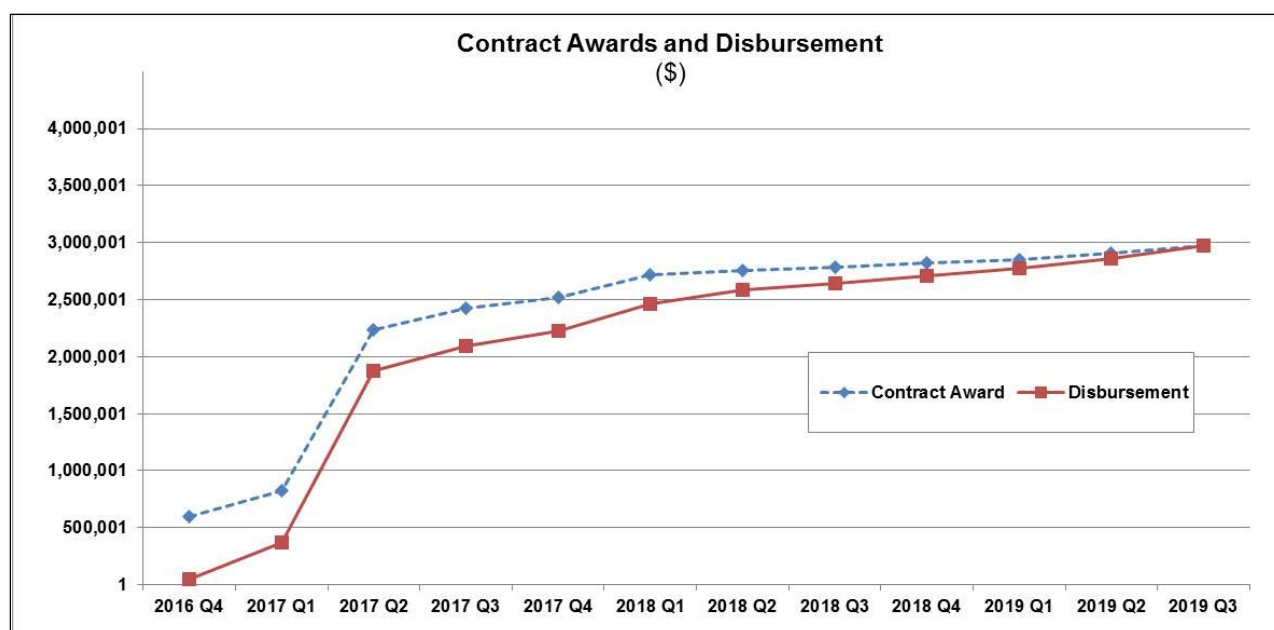
F. Contract and Disbursement S-curve

28. The projected contract awards and disbursements under the grant and the corresponding S-curves are presented below.

Table 7: Schedule of Disbursement and Contract Awards

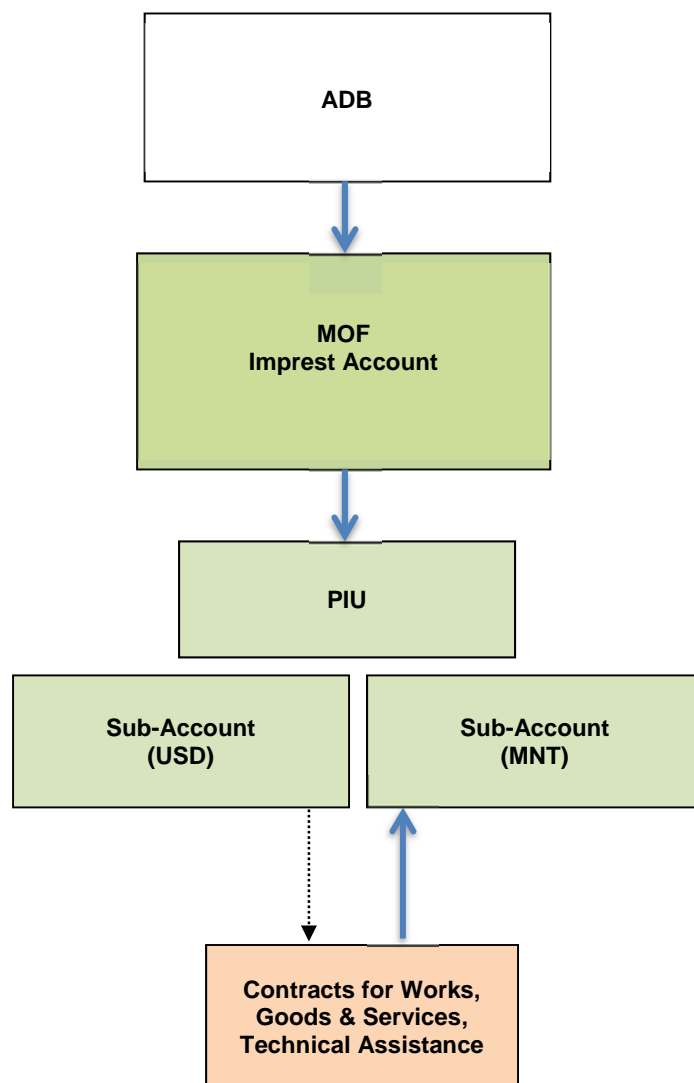
Years	Contract Awards (\$ million)					Disbursement (\$ million)				
	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total
2016				600,018	600,018				51,233	51,233
2017	222,069	1,416,474	183,877	93,466	1,915,886	317,359	1,507,764	214,177	131,416	2,170,716
2018	202,475	34,015	34,015	34,015	304,520	240,425	123,005	58,715	65,065	487,210
2019	29,778	54,033	65,988	29,778	179,576	63,933	90,388	106,743	29,778	290,841
Total					3,000,000					3,000,000

Figure 1: S-Curve



G. Funds Flow Diagram

Figure 2. Flow of Funds



.....> Funds flow
 —————> Payment requests and withdrawal applications

ADB = Asian Development Bank, EA = executing agency, NEMA = National Emergency Management Agency, PIU = project implementation unit.

V. FINANCIAL MANAGEMENT

A. Financial Management Assessment

29. As part of the project due diligence for MON (48236-001): Strengthening Community Resilience to *Dzud* and Forest and Steppe Fires (\$3.2 million; 2016–2019), a financial management assessment (FMA) of the executing and implementing agencies was conducted, in accordance with ADB's Financial Management Assessment Guidelines and Financial Due Diligence—A Methodology Note. Overall assessment of pre-mitigation financial management risk is based on the definitions provided in ADB's Financial Management Technical Guidance Note—Financial Management Assessment (May 2015). Office of the Chief, NEMA will be the executing agency. The DPCC will be the implementing agency.

30. The FMA was conducted through working discussions held at the NEMA offices in Ulaanbaatar in April 2016, attended by staff of NEMA's Department of Finance, Procurement, and Services (DFPS). The ADB FMA questionnaire was used as the basis for discussions. The FMA considered the capacity of the executing and implementing agencies, including funds-flow arrangements, staffing, accounting and financial reporting systems, financial information systems, and internal and external auditing arrangements.

31. The overall pre-mitigation financial management risk of the executing and implementing agencies is concluded to be “moderate” (defined as “likely to occur, will have low impact if occurs”).¹⁶ This conclusion is based on: (i) the implementing agency has low in-house financial capacity, as the DPCC comprises technical staff which are not qualified in accounting or financial management; hence even with the inclusion of a qualified finance specialist in the PIU team, it is possible that some errors or deficiencies in project financial management may occur; (ii) such risks will be partly offset by the involvement of NEMA's DFPS, which provides overall guidance and financial monitoring for all NEMA departments; and (iii) given the small size and budget of the project, it is likely that any errors could be quickly identified and corrected, with limited impact to project operations and viability.

32. A ranking of “moderate” risk requires the preparation of an action plan for risk mitigation. The project will implement the following mitigation measures: (i) a qualified finance specialist and a procurement officer will be recruited to manage accounts and procurement respectively; (ii) financial management software acceptable to ADB will be used for the project, supported by maintenance of hard-copy ledgers and records; (iii) an action plan for risk mitigation has been prepared and is described in this PAM. During project implementation this will be regularly reviewed and/or updated to ensure the project responds dynamically to risks; (iv) NEMA's DFPS will provide financial oversight to the executing and implementing agencies, working also with the project finance specialist; and (v) ADB will provide intermittent financial training and mentorship to the executing and implementing agencies as needed. Measures (ii) and (iii) are included in the terms of reference for the project finance specialist.

Table 8: Financial Management Action Plan

Risk	Action	Responsibility	Timing
EFPD provide limited internal support to executing agency	Confirm inclusion of project in EFPD work plan; clarify EFPD support	EFPD, Executing	3 months before effectiveness

¹⁶ ADB. 2015. Financial Management Technical Guidance Note. Financial Management Assessment. Manila.

Risk	Action	Responsibility	Timing
due to existing workloads	including internal auditing of project	agency	
Executing and implementing agencies lack in-house qualified financial and procurement staff	Recruit a full-time project finance specialist and a procurement specialist	Executing agency	Within 3 months of effectiveness
Executing and implementing agencies lack experience in ADB financial management procedures	Training on ADB requirements and procedures, including accounting, auditing, and disbursement	ADB	Within 3 months of effectiveness
Excel often used by executing agencies for ADB projects for accounting but has limited security	Establish a secure project accounting system: procure and use financial management software accepted by ADB, supported by hard-copy records	Executing agency, project finance specialist	Within 3 months of effectiveness
Financial management risks may change over time compared with the FMA	Review and update FMA	Project finance specialist	Annual

ADB = Asian Development Bank, EFPD = Economic, Financial and Planning Division, FMA = financial management assessment.

Source: Asian Development Bank.

B. Disbursement

1. Disbursement Arrangements for ADB

33. The JFPR grant proceeds will be disbursed in accordance with ADB's *Loan Disbursement Handbook* (2015, as amended from time to time).¹⁷

34. **Project imprest account and procedures.** After grant effectiveness, MOF will establish an imprest account for the project. The currency of the imprest account will be US dollars. The imprest account will be used exclusively for ADB's share of eligible expenditures (i.e., the JFPR funds) and according to the financing arrangements described in this PAM. The imprest account will be established at a commercial bank endorsed by MOF.

35. Requests by the executing agency for initial advance and subsequent replenishments of the imprest account will be supported by withdrawal applications to ADB and will be based on the executing agency's estimate of ADB's share of eligible project expenditures for up to, and not exceeding, the next 6 months, supported by a 6-month activity plan and Estimate of Expenditure Sheet.¹⁸ Subsequent applications for account replenishment will be accompanied by a Statement of Expenditures¹⁹ or, if full documentation is required, a Summary Sheet,²⁰ as well as the imprest account reconciliation statement.²¹

36. Liquidation of eligible expenditures is required before further replenishments of the imprest account can be endorsed. The withdrawal application will be prepared in the currency of the imprest account i.e., US dollars. Withdrawal applications will be co-signed by the NEMA Chief and MOF. The initial advance will be prepared by the NEMA Office of the Chief.

¹⁷ <http://www.adb.org/documents/loan-disbursement-handbook>.

¹⁸ Form available in Appendix 10B of ADB *Loan Disbursement Handbook* (2015, as amended from time to time).

¹⁹ Forms available in Appendices 9B–9C of ADB *Loan Disbursement Handbook* (2015, as amended from time to time).

²⁰ Form available in Appendix 7B of ADB *Loan Disbursement Handbook* (2015, as amended from time to time).

²¹ Form available in Appendix 10C of ADB *Loan Disbursement Handbook* (2015, as amended from time to time).

Thereafter, once the PIU project coordinator and finance specialist have been recruited, the PIU will prepare the withdrawal applications for review and co-signing by the NEMA Chief and MOF.

37. The minimum value per withdrawal application is set in accordance with ADB's Loan Disbursement Handbook. Individual payments below the amount should be paid (i) by the executing and/or implementing agencies and subsequently claimed to ADB through reimbursement, or (ii) through the imprest fund procedure, unless otherwise accepted by ADB.

38. **Project sub-accounts.** Two sub-accounts will be established for daily project administration and maintained by the project implementation unit (PIU) on behalf of the implementing agency (DPCC): one in USD and one in Mongolian togrog. The spread of grant proceeds in two currencies will help hedge against foreign exchange risks. The subaccounts will be used exclusively for ADB's share of eligible expenditures of the project. Daily management of the subaccounts will be performed by the PIU to facilitate local project expenditures. Withdrawal requests from the sub-accounts will be prepared by the PIU finance specialist and require co-signing by the DPCC Director and PIU project manager.

39. **Statement of expenditure (SOE) procedure.**²² The SOE procedure will be used for liquidation of advances to the imprest account and reimbursement of eligible expenditures. It will also apply for individual payments not exceeding \$10,000 to ensure speedy project implementation. Payments in excess of the SOE ceiling will be liquidated or replenished based on full supporting documentation of eligible expenditures when submitting the withdrawal application to ADB. During project implementation, ADB will assess the executing agency's accounting and administrative capacity and feasibility to remove the ceiling for the SOE procedure in accordance with the *Loan Disbursement Handbook* (February 2015, as amended from time to time), and review and update the FMA as needed.

40. **Signing authority.** Before the submission of the first withdrawal applications, MOF should submit to ADB sufficient evidence of the authority of the person(s) who will sign the withdrawal applications on behalf of the government, together with the authenticated specimen signatures of each authorized person.

41. **Interest.** Interest earned on the imprest and/or sub-accounts, net of bank charges, can be used for the project, subject to ADB's approval and within the approved total amount of the grant account. Any unused interest should be returned to the grant account maintained at ADB upon project completion and before closing of the grant account.

42. **Training for project staff.** Online training for project staff on disbursement policies and procedures is available at: http://wpqr4.adb.org/disbursement_elearning. Relevant government officials of the executing and implementing agencies and PIU staff are encouraged to avail of this training to help ensure efficient disbursement and fiduciary control. The schematic fund flow for the project is in the PAM section IV.G.

43. **Financial documentation and records.** All supporting documents and records (including receipts for expenditures) for liquidating or replenishing the imprest account, and transactions from the subaccounts, will be submitted to ADB or retained by the executing and implementing agencies, in accordance with ADB's *Loan Disbursement Handbook* (2015, as

²² SOE forms are available in Appendix 9B and 9C of ADB's Loan Disbursement Handbook (2015, as amended from time to time).

amended from time to time). Documents and records will be made readily available for review upon request by ADB e.g., on a sampling basis, and for independent audit. The PIU will retain, file, and manage all documentation, and provide duplicate copies of all financial statements and audit records to NEMA and MOF.

2. Disbursement Arrangements for Counterpart Fund

44. The GOM, including the executing and implementing agencies, will provide in-kind support of office space for the PIU, and salaries and travel costs of counterpart staff. These costs will be included in the annual budgets of NEMA and relevant GOM agencies.

C. Accounting

45. NEMA will maintain, or cause to be maintained, separate books and records by funding source for all expenditures incurred on the project by adopting the International Public Sector Accounting Standard for cash based accounting. The PIU, on behalf of the executing and implementing agencies, will prepare consolidated project financial statements in accordance with GOM's accounting laws and regulations which are consistent with international accounting principles and practices.

D. Auditing and Public Disclosure

46. NEMA will cause the detailed consolidated project financial statements to be audited in accordance with International Standards on Auditing by an independent auditor acceptable to ADB. NEMA will submit audited project financial statements together with the auditors' opinion will be submitted in the English language to ADB within six months of the end of the fiscal year.

47. The annual audit report for the project accounts will include an audit management letter and audit opinions which cover (i) whether the project financial statements present a true and fair view or are presented fairly, in all material respects, in accordance with the applicable financial reporting framework; (ii) whether the grant proceeds were used only for the purposes of the project or not; and (iii) the level of compliance for each financial covenant contained in the legal agreements for the project. Expenditure categorization and analysis should be representative of project activities and includes classification based on the categories in Table 6B, Breakdown of Category 1, of the PAM.

48. Compliance with financial reporting and auditing requirements will be monitored by review missions and during normal program supervision, and followed up regularly with all concerned, including the external auditor.

49. NEMA, the executing agency, has been made aware of ADB's approach to delayed submission, and the requirements for satisfactory and acceptable quality of the audited project financial statements.²³ ADB reserves the right to require a change in the auditor (in a manner

²³ ADB approach and procedures regarding delayed submission of audited project financial statements:

- When audited project financial statements are not received by the due date, ADB will write to the executing agency advising that (i) the audit documents are overdue; and (ii) if they are not received within the next six months, requests for new contract awards and disbursement such as new replenishment of imprest accounts, processing of new reimbursement, and issuance of new commitment letters will not be processed.
- When audited project financial statements have not been received within 6 months after the due date, ADB will withhold processing of requests for new contract awards and disbursement such as new replenishment of

consistent with the constitution of the grant recipient), or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB, or if the audits are substantially delayed. ADB reserves the right to verify the project's financial accounts to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures.

50. Public disclosure of the project financial statements, including the audit report on the project financial statements, will be guided by ADB's Public Communications Policy (2011).²⁴ After review, ADB will disclose the project financial statements for the project and the opinion of the auditors on the financial statements within 14 calendar days of the date of their acceptance by posting them on ADB's website. The Audit Management Letter, additional auditor's opinions, and audited entity financial statements will not be disclosed.²⁵

imprest accounts, processing of new reimbursement and issuance of new commitment letters. ADB will (i) inform the executing agency of ADB's actions; and (ii) advise that the loan may be suspended if the audit documents are not received within the next six months.

- When audited project financial statements have not been received within 12 months after the due date, ADB may suspend the loan.

²⁴ Available from <http://www.adb.org/documents/pcp-2011?ref=site/disclosure/publications>

²⁵ This type of information would generally fall under public communications policy exceptions to disclosure. ADB. 2011. *Public Communications Policy*. Paras. 97(iv) and/or 97(v).

VI. PROCUREMENT AND CONSULTING SERVICES

A. Advance Contracting and Retroactive Financing

51. The executing agency has requested advance contracting for services to enable early commencement of recruitment of consultants and PIU staff. All advance contracting will be undertaken in conformity with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time), and the Public Procurement Law of Mongolia (2005). The advertisement, shortlisting, evaluation, and consultant selection committee recommendations under advance contracting will be subject to ADB prior approval. The government and executing agency have been advised that approval of advance contracting does not commit ADB to financing the project. Retroactive financing will not be utilized under the project.

B. Procurement of Goods, Works and Consulting Services

52. The PIU, on behalf of the executing agency, will be responsible for procurement. All procurement financed by the JFPR grant will be carried out in accordance with ADB's Procurement Guidelines (2015, as amended from time to time) and Mongolia's Ministry of Finance (2014) Procurement Manual. The selection and engagement of contractors for works, goods, and/or consulting services to be financed by the grant will be subject to ADB approval.

53. National competitive bidding procedures will be used for civil works contracts estimated to cost \$100,000 or more and for goods and services supply contracts valued at \$100,000 or higher. Shopping will be used for procurement of works and equipment worth less than \$100,000. Community participation will be used for services valued less than \$100,000. Procurement of consultants will be done through individual consultant selection, consultants' qualifications selection, and least-cost selection. The relevant sections of ADB's Anticorruption Policy (1998, as amended to date) will be included in all procurement documents and contracts.

54. Before the start of any procurement ADB and the Government will review public procurement laws of the central and state governments to ensure consistency with ADB's Procurement Guidelines.

55. An 18-month procurement plan indicating threshold and review procedures, goods, works, and consulting service contract packages and national competitive bidding guidelines is in Section VI.C. The plan describes the thresholds and review procedures, and contract packages for goods, works, and consulting services. Any necessary modifications or clarifications to the recipient procurement procedures will be documented in the procurement plan.

C. Procurement Plan

Procurement Plan Basic Data

Project Name: Strengthening Community Resilience to <i>Dzud</i> , and Forest and Steppe Fires	
Project Number: MON 48236	Approval Number: 9187
Country: Mongolia	Executing Agency: NEMA
Project Procurement Classification: B	Implementing Agency: NEMA Department of Policy Coordination and Cooperation
Procurement Risk: Average	
Project Financing Amount: \$3.2 million	Project Completion Date: 31 October 2019
ADB Financing: \$3.0 million	
Date of First Procurement Plan: July 2016	Date of This Procurement Plan: 1 June 2017

(A) Methods, Thresholds, Review and 18-Month Procurement Plan

1. Procurement and Consulting Methods and Thresholds

56. Except as the Asian Development Bank (ADB) may otherwise agree, the following process thresholds shall apply to procurement of goods and works: (i) Shopping for Goods (threshold below \$100,000), and (ii) Community Participation for Goods and Services (threshold below \$100,000). A third method, Direct Contracting (threshold below \$10,000) is included in the procurement plan, although there are currently no procurement packages for this procedure. The method is included to provide flexibility in the event that additional low-cost goods are required.

Procurement of Goods and Works		
Method	Threshold	Comments
International Competitive Bidding (ICB) for Works	\$5,000,000 and above	None.
International Competitive Bidding (ICB) for Goods	\$2,000,000 and above	None.
National Competitive Bidding (NCB) for Works	\$100,000 and above, and below \$5,000,000	The first NCB for Works is subject to prior review.
National Competitive Bidding (NCB) for Goods	\$100,000 and above, and below \$2,000,000	The first NCB for Goods is subject to prior review.
Shopping for Works	Below \$100,000	
Shopping for Goods	Below \$100,000	
Community Participation for Goods and Services ("Community")	Below \$100,000	6 contracts for cut fire breaks in steppe <i>soums</i> (each contract for 1 <i>soum</i> in Dornod and Sukhbaatar), 2 contracts for cut fire breaks in forestry <i>soums</i> (each contract for 1 <i>soum</i> in Khuvsgul), and 2 contracts for irrigation (each contract for 1 community in Sharga, Gobi-Altai)
Direct Contracting	Below \$10,000	

Consulting Services	
Method	Comments
Quality and Cost Based Selection (QCBS)	None.
Quality Based Selection (QBS)	None.
Consultants' Qualifications Selection (CQS)	Prior review.
Least-Cost Selection (LCS)	Prior review.
Individual Consultants Selection (ICS)	Prior review.
Single source	Prior review. For one contract for training resource persons from Japanese Aerospace Agency – part of Japanese visibility for the grant.

2. Goods and Works Contracts Estimated to Cost \$1 Million or More

57. There are no contracts for this project estimated to cost \$1 million or more.

3. Consulting Services Contracts Estimated to Cost \$100,000 or More

58. The following table lists consulting services contracts for which the recruitment activity is

either ongoing or expected to commence within the next 18 months.

Package Number	General Description	Estimated Value	Recruitment Method	Review (Prior/Post)	Advertisement Date (quarter/year)	Type of Proposal	Comments
C001	CBDRM Specialist (international)	\$148,020	ICS	Prior	Q2 2017		
C002	Scoping study for early warning systems for national disaster	\$168,460	CQS	Prior	Q1 2018		

4. Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Contracts Less than \$100,000 (Smaller Value Contracts)

59. The following table groups smaller-value goods, works and consulting services contracts for which the activity is either ongoing or expected to commence within the next 18 months.

1. Goods and Works

Package Number	General Description	Estimated Value	No. Contracts	Procurement Method	Review	Bidding Procedure	Advertisement Date	Comments
					(Prior/Post)		(quarter/year)	
G001	Cut fire breaks in steppe <i>soums</i>	\$75,920	6	Community	Post		Q2 2017	1 contract to each <i>bagh</i> neighbor group in Dornod and Sukhbaatar that will cut firebreaks
G002	Cut fire breaks in forestry <i>soums</i>	\$92,024	2	Community	Post		Q2 2017	1 contract to each <i>bagh</i> neighbor group in Khuvsgul that will cut firebreaks
G003	Equipment for <i>bagh</i> neighborhood groups to prevent fires; equipment for LEMAs and <i>soum</i> administrations	\$483,672	4	NCB	Prior		Q2 2017	Up to 4 contracts for different suppliers of equipment for fighting fires
G004	Personal protective gear for neighborhood groups to fight fires; PPG for <i>soum</i> administrations and LEMAs	\$167,482	2	NCB	Post		Q2 2017	Up to 2 contracts for different suppliers of personal protective gear
G005	Design and construct demonstratio	\$38,343	1	Shopping	Prior		Q2 2017	1 contract for a firm to provide 3 engineers – 1

1. Goods and Works

Package Number	General Description	Estimated Value	No. Contracts	Procurement Method	Review	Bidding Procedure	Advertisement Date	Comments
					(Prior/Post)		(quarter/year)	
	n shelters and facilities							for each <i>aimag</i> except Khuvsgul – to design shelters and facilities. Design includes a demonstration of each type of shelter and facility
G006	Materials for constructing shelters and facilities	\$312,664	4	NCB	Prior		Q2 2017	Up to 4 contracts for different suppliers of materials for communities to construct shelters and facilities
G007	Construct wells	\$130,037	1	NCB	Post		Q2 2017	1 contract for a well drilling firm to drill wells in Gobi-Altai
G008	Irrigation for grass in Gobi-Altai	\$16,615	1	Community	Post		Q2 2017	1 contract to <i>bagh</i> neighborhood group in Sharga, Gobi-Altai to repair irrigation facility
G009	Irrigation for growing vegetables in Gobi-Altai	\$16,615	1	Community	Post		Q2 2017	1 contract to <i>bagh</i> neighborhood group in Sharga, Gobi-Altai, to repair irrigation system for growing vegetables
G010	Barometers	\$26,843	1	Shopping	Post		Q2 2017	1 contract to 1 supplier of barometers
G011	Siren systems for <i>soums</i>	\$8,525	1	Shopping	Post		Q3 2017	1 contract to 1 supplier of siren systems
G012	Communications and GPS equipment for LEMAs and <i>soums</i>	\$45,160	1	Shopping	Post		Q3 2017	Up to 2 contracts to different suppliers of communications and GPS

1. Goods and Works

Package Number	General Description	Estimated Value	No. Contracts	Procurement Method	Review	Bidding Procedure	Advertisement Date	Comments
					(Prior/Post)		(quarter/year)	
								equipment
G013	Equipment for LEMAs to unblock roads	\$97,433	2	NCB	Prior		Q3 2017	Up to 2 contracts to different suppliers of equipment to attach to vehicles to unblock roads
G015	Computers for PIU	\$34,150	1	Shopping	Post		Q1 2017	1 contract to 1 supplier for computers
G017	Water tanks along firebreaks in <i>soums</i>	\$10,718	1	Shopping	Post		Q2 2017	1 contract to 1 supplier of office equipment
G018	Equip border patrol to assist in responding to forest fires	\$12,781	1	Shopping	Post		Q2 2017	1 contract to 1 supplier of office equipment

2. Consulting Services

No.	General Description	Estimated Value	Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal	Comments
C022	Develop NEMA/LEMA GIS/remote sensing capacities	\$16,224	CQS	Prior	Q1 2017		
C023	Training of super users on NEMA disaster database	\$22,815	SSS	Prior	Q4 2017		
C024	Financial audit services	\$29,240	LCS	Prior	Q2 2017		

CQS = consultant qualification selection; ICS = individual consultant selection; LCS = least cost selection, SSS = single-source selection.

(B) Indicative List of Packages Required Under the Project

60. The following table provides an indicative list of goods, works and consulting services contracts over the life of the project, other than those mentioned in previous sections (i.e., those expected beyond the current period).

1. Goods and Works							
Package Number	General Description	Estimated Value (Cumulative)	Estimated Number of Contracts	Procurement Method	Review (Prior / Post)	Bidding Procedure	Comments

2. Consulting Services							
Package Number	General Description	Estimated Value (Cumulative)	Estimated Number of Contracts	Recruitment Method	Review (Prior / Post)	Type of Proposal	Comments
None							

(C) List of Awarded and On-going, and Completed Contracts

61. **Awarded and On-going Contracts.** No contracts have been awarded yet for the project. The following tables will be used during project implementation to track contract awards.

Goods and Works							
Package Number	General Description	Estimated Value	Awarded Contract Value	Procurement Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award²⁶	Comments (including contractor name and contract signing date)
G016	Office furniture and equipment	\$23,140	MNT44,286,000 (\$18,424.33)	Shopping	22 March 2017	19 Apr 2017	BSB LLC; contract signed on 3 April 2017 PCSS G17023
G014	PIU Vehicle	\$85,440	MNT162,000,000 (\$67,396.94)	Shopping	20 March 2017	19 Apr 2017	Munkhada LLC; amendment contract signed on 10 April 2017 (original contract signed on 3 April 2017) PCSS G17024

Consulting Services							
Package Number	General Description	Estimated Value	Awarded Contract Value	Recruitment Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award²⁶	Comments (including contractor name and contract signing date)
C003	Project Coordinator	\$71,800	\$97,200	ICS		9 Dec 2016	Nyamdorj Doljinsuren; contract signed on 9 Feb 2017 PCSS G16898
C004	Finance Specialist	\$53,850	\$53,850	ICS		9 Dec 2016	Khajidsuren Sandui; contract signed on 9 Feb 2017 PCSS G17012
C006	PIU Administrator	\$37,290	\$37,290	ICS		10 Apr 2017	Javzandulam Ganbold; contract signed on 17 April 2017 PCSS G17100
C020	Social and Gender Specialist	\$16,400	\$19,900	ICS		5 Apr 2017	Altanchimeg Badarch; contract signed 17 Apr 2017 PCSS G17101
C008	Munkhaan Soum Coordinator	\$16,200	\$16,200	ICS		17 Apr 2017	Zoljargal Sundui; contract signed 20

²⁶ Date of ADB approval of contract award is the date of No-Objection letter to the executing agency and/or implementing agency.

							Apr 2017 PCSS G17102
C009	Sukhbaatar Soum Coordinator	\$16,200	\$16,200	ICS		10 Apr 2017	Enkhtuul Altannavch; contract signed 20 Apr 2017 PCSS G17103
C010	Tumentsogt Soum Coordinator	\$16,200	\$16,200	ICS		10 Apr 2017	Gantsogt Gombosuren; contract signed 20 Apr 2017 PCSS G17104
C011	Bulgan Soum Coordinator	\$16,200	\$16,200	ICS		10 Apr 2017	Battumur Uuriintuya; contract signed 20 Apr 2017 PCSS G17105
C012	Matad Soum Coordinator	\$16,200	\$16,200	ICS		10 Apr 2017	Odgerel Chantsal; contract signed 20 Apr 2017 PCSS G17106
C013	Tsagaan-Ovoo Soum Coordinator	\$16,200	\$16,200	ICS		10 Apr 2017	Munkhdorj Nasandorj; contract signed on 20 Apr 2017 PCSS G17107
C017	Sharga Soum Coordinator	\$16,200	\$16,200	ICS		17 Apr 2017	Purevdorj Lkhagvabaatar; contract signed on 20 Apr 2017 PCSS G17108
C018	Altai Soum Coordinator	\$9,200	\$9,200	ICS		10 Apr 2017	Gantuya Sevjid; contract signed on 20 Apr 2017 PCSS G17109
C007	Darvi Soum Coordinator	\$9,200	\$9,200	ICS		10 Apr 2017	Gankhuyag Puntsag; contract signed on 20 Apr 2017 PCSS G17110
C015	Ulaan-Uul Soum Coordinator	\$16,200	\$16,200	ICS		17 Apr 2017	Tamir Tumenjargal; contract signed on 20 Apr 2017 PCSS G17111
C016	Tsagaan-Uur Soum	\$16,200	\$16,200	ICS		10 Apr 2017	Erdenechimeg Chioijiljav; contract signed on 20 Apr 2017 PCSS G17112
C021	Monitoring and Evaluation Specialist	\$12,400	\$15,000	ICS		5 Apr 2017	Nandinchimeg Magsar; contract signed on 3 May 2017 PCSS G17113
C019	Disaster Risk Management Specialist / Deputy Coordinator	\$59,325	\$72,050	ICS		3 May 2017	Ganbat Radnaabazar; contract signed on 5 May 2017 PCSS G17194
C014	Khulunbuir Soum Coordinator	\$16,200	\$16,200	ICS		3 May 2017	Tsepelmaa Yumsuren; contract signed on 8 May 2017 PCSS G17195

C005	Procurement Specialist	\$30,000	\$30,000	ICS		13 February 2017	Tseveen-Ur Dash; contract signed on 9 March 2017 PCSS G17261
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62. **Completed Contracts.** The following tables will be used during project implementation to record completed contracts.

Goods and Works								
Package Number	General Description	Estimated Value	Contract Value	Procurement Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Date of Completion (physical completion date of contract)	Comments
None								

Consulting Services								
Package Number	General Description	Estimated Value	Contract Value	Recruitment Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Date of Completion (physical completion date of contract)	Comments
None								

(D) Non-ADB Financing

63. The following tables list goods, works and consulting services contracts over the life of the project, financed by Non-ADB sources. Currently there is no planned financing other than by ADB.

Goods and Works				
General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Procurement Method	Comments
None				

Consulting Services				
General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Recruitment Method	Comments
None				

(E) National Competitive Bidding

A. Regulation and Reference Documents

64. The procedures to be followed for national competitive bidding shall be those set forth in the Public Procurement Law of Mongolia of 1 December 2005, effective 1 February 2006, as amended in February 2007; July 2009; and February, June and December 2011 (hereinafter referred to as PPLM), with the clarifications and modifications described in the following paragraphs required for compliance with the provisions of the ADB *Procurement Guidelines*.

B. Procurement Procedures

1. Eligibility [Recommended standard provision]

65. The eligibility of bidders shall be as defined under section I of the Procurement Guidelines; accordingly, no bidder or potential bidder should be declared ineligible for reasons other than those provided in section I of the Guidelines, as amended from time to time.

66. Government-owned enterprises in Mongolia shall be eligible for projects only if they can establish that they: (i) are legally and financially autonomous; (ii) operate under the principles of commercial law; and (iii) are not dependent agencies of the Borrower, Beneficiary, Recipient Executing Agency and/or the Implementing Agency.

2. Participation of Foreign Bidders

67. International bidders from eligible countries of ADB shall be allowed to participate in local procurement and may not be denied participation due to nationality.

3. Preferences

68. No domestic preference shall be given for domestic bidders and for domestically manufactured goods.

4. Prequalification and Registration

69. Prequalification is discouraged for procurement contracts using NCB. When used, particularly for works contracts, an individual prequalification exercise is acceptable for each contract as is the use of a registration system (or approved standing list) of contractors based on criteria such as experience, financial capacity, and technical capacity. Foreign bidders from eligible countries must, however, be allowed to register and to bid without unreasonable cost or additional requirements.

5. Rejection of All Bids and Rebidding

70. All bids shall not be rejected or new bids invited without ADB's prior written concurrence.

71. No bid shall be rejected merely on the basis of a comparison with the estimated cost or budget ceiling without ADB's prior written concurrence (with specific reference to Article 30 of the PPLM).

C. Bidding Documents

6. Use of Bidding Documents

72. National Standard Bidding Documents Goods and Works that have been approved for procurement in ADB-financed projects shall be used.

7. Language

73. Bidding documents may be prepared in other languages, but a copy of the bidding documents must be made available in English and submitted to ADB for review.

8. Bid Validity

74. Bidders shall be requested to extend the validity of their bids only under exceptional circumstances and the Executing or Implementing Agency, as the case may be, shall communicate such request for extension to all bidders before the date of expiry of their bids. When the procurement is subject to ADB's prior review, the Executing or Implementing Agency, as the case may be, shall obtain in a timely manner the prior written concurrence of ADB for the extension of the bid validity period.

9. Bid Evaluation

75. Evaluation and qualification criteria, and submission requirements, to be used in each bidding activity shall be clearly specified in the bidding documents. The evaluation of bids shall be done in strict adherence to the criteria specified in the bidding documents.

76. Negotiations with bidders shall not be undertaken before award of contract, except as provided in Paragraph 2.63 of ADB's Procurement Guidelines. A bidder shall not be required, as a condition for award, to undertake obligations not specified in the bidding documents or otherwise to modify its bid as originally submitted.

77. At the same time that notification on award of contract is given to the successful bidder, the results of the bid evaluation shall be posted on a well-known freely accessible website (namely Mongolia's Ministry of Finance e-procurement website: www.e-procurement.mn) identifying the bid and lot numbers and providing information on the: (i) name of each bidder that submitted a bid; (ii) bid prices as read out at bid opening; (iii) names of bidders whose bids were rejected and the reasons for their rejection; and (iv) name of the winning bidder, and the price it offered, as well as the duration and summary scope of the contract awarded. The Executing Agency or Implementing Agency, as the case may be, shall respond in writing to unsuccessful bidders who seek explanations on the grounds on which their bids were not selected.

10. ADB Policy Clauses

78. A provision shall be included in all NCB works and goods contracts financed by ADB requiring suppliers and contractors to permit ADB to inspect their accounts and records and other documents relating to the bid submission and the performance of the contract, and to have them audited by auditors appointed by ADB.

79. A provision shall be included in all bidding documents for NCB works and goods contracts financed by ADB stating that the Borrower shall reject a proposal for award if it determines that the bidder recommended for award has, directly or through an agent, engaged in corrupt, fraudulent, collusive, coercive or obstructive practices in competing for the contract in question.

80. A provision shall be included in all bidding documents for NCB works and goods contracts financed by ADB stating that ADB will declare a firm or individual ineligible, either indefinitely or for a stated period, to be awarded a contract financed by ADB, if it at any time determines that the firm or individual has, directly or through an agent, engaged in corrupt, fraudulent, collusive, coercive or obstructive practices or any integrity violation in competing for, or in executing, ADB-financed contract.

D. Consultant's Terms of Reference

Table 9: Consultants and Input Times

Project Implementation Unit	Input Months
1. PIU Project coordinator – National	35
2. Disaster Risk Management (DRM) Specialist / Deputy PIU Project coordinator – National	33
3. PIU <i>Soum</i> Field Officers – National (9 positions for 33 person-months)	297
4. PIU <i>Soum</i> Field Officers – National – Sharga <i>Soum</i> , Gobi-Altai (1 position)	33
5. PIU <i>Soum</i> Field Officers – National (2 positions in 2 <i>soums</i> , Gobi Altai for 18 person-months)	36
6. PIU Finance specialist – National	35
7. PIU Procurement Officer – National	20
8. PIU Administrator – National	33
Sub-total	522
Consultants	
Community-based disaster risk management specialist (international)	6
Social and gender specialist – national (intermittent)	8
Monitoring and Evaluation specialist	6
Sub-total	20
Total	542

81. Terms of reference for all consultant contracts follow below.

1. Position: PIU Project coordinator – National (35 person-months)

Expertise: The candidate shall have a master's degree, preferably in public administration, business management, natural resources management, or similar field. The specialist must have experience in implementing multilateral development bank, preferably ADB, projects. Preferred candidates will have at least 8 years of overall work experience, of which 5 years of work experience is in the type of outputs specified below and must have some direct experience in leading project implementation units. In addition to project management skills and experience, the Project coordinator ideally should have knowledge and experience of disaster risk management, community development, natural resources management (including livestock) or a related field in Mongolia. The candidate must be very fluent in the English language (spoken and written).

The Project coordinator will lead the Project Implementing Unit (PIU) including staff based in Ulaanbaatar, short-term project consultants, and field coordinators in 12 *soums* across Sukhbaatar, Dornod, Khuvsgul, and Gobi-Altai *aimags*.

Reporting: The position will report to the Project Director of NEMA.

Post Location: Ulaanbaatar

Duration of contract: 35 person-months.

Timing: Starting in October 2016

Scope of work: The scope of work includes accountability for the preparation of annual work plans and budgets; communicating clearly to PIU staff the activities to be completed; ensuring that PIU staff based in *soums* complete project activities; regularly monitor progress on activities; and prepare reports for the EA / MOF and ADB.

Expected outputs - Tasks and Activities

Output 1: Lead the PIU in its implementation of the project.

- (i) As delegated by the Project Director, lead the PIU in project implementation, ensuring all outputs are delivered according to approved work plans and budgets.
- (ii) Represent the Project Director when required for project related matters.
- (iii) Supervise PIU project staff and contractors, ensuring that they work on project activities according to the annual work plan and budget.
- (iv) Assist the Project Director in discussing TORs and expected outputs with each PIU project staff, providing coaching where required and reviewing performance of staff.
- (v) Ensure communications among PIU staff and contractors on project work plans, project issues, and project performance.
- (vi) Conduct monthly PIU project management meetings that address work plan progress and issues that are impeding progress.

Output 2: Prepare implementation work plans and budgets for the PIU.

- (i) Based on the project work plans for (i) designing and implementing *bagh* neighborhood group disaster action plans, (ii) providing small infrastructure and equipment to *bagh* neighborhood groups, and (iii) institutional strengthening of NEMA, LEMAs, and *soum* administrations in timely and effective early responses to disasters, develop annual work plans and budgets for PIU activities and submit for approval with detailed time bound activities that have clear responsibilities and accountabilities.
- (ii) Coordinate the PIU activities such that the activities and targets in the GAP are achieved by the PIU team.
- (iii) Develop and update a Project Management Manual that specifies all procedures and administration for the implementation of the project and conduct staff awareness and training

Output 3: Enable implementation of PIU activities.

- (i) Ensure the timely preparation of contracts with suppliers and communities that provide labour for various project activities according to ADB procurement standards, and including requirements noted in the project's GAP.
- (ii) Coordinate delivery of consultant work.
- (iii) Ensure linkages between provincial PIU staff and non-PIU government agency staff to ensure their input and participation in project activities is provide in a timely manner
- (iv) Ensure PIU financial staff actively manage cash flow through the imprest account to enable timely implementation.
- (v) Obtain necessary approvals in a timely manner from the Project Director for work activities.

Output 4: Conduct monthly monitoring of PIU activities and expenditures, quarterly progress reports, and annual performance reviews.

- (i) Conduct monthly monitoring of PIU progress against the annual work plan and budget, including the GAP, and report progress to the Project Director.
- (ii) Participate in the quality control supervision checks in each province with respect to the forest planting surveillance and be responsible for assessing the quality of field inspections.
- (iii) Report progress of the PIU work program on a quarterly basis to the Project Director and prepare quarterly reports for submission to EA / MOF and ADB.

- (iv) Complete annual performance reviews of PIU activities and expenditures with a detailed breakout of outstanding activities, activities that need to be strengthened or updated and provide proposed revisions to Project plans including ensuring that resources are reallocated within budget limits.
- (v) Complete timely preparation of other reports to the Project Director, as required.
- (vi) Organize Project Steering Committee meetings in timely manner in accordance with the work plan

2. Position: Disaster Risk Management (DRM) Specialist / Deputy PIU Project coordinator – National (33 person-months)

Expertise: The candidate shall have a bachelor degree in social or environmental sciences, or other relevant discipline to disaster risk management. The candidate will preferably have at least 5 years of experience working with communities and/or on development projects in a rural environment. The candidate must have past experience in DRM. The candidate is preferred to have some experience working with an international organization, like ADB, World Bank, United Nations or others. The candidate must be very fluent in English (spoken and written).

Reporting: The position will report to the PIU Project coordinator.

Duration of contract: 33 person-months

Post Location: Ulaanbaatar

Timing: tentatively starting between October – November 2016

Scope of work: He/she will (i) work with the international CBDRM specialist to design and deliver technical DRM aspects and training programs for the project, (ii) provide technical oversight to and manage project *soum* field officers, (iii) coordinate and ensure development and implementation of quality *bagh* neighborhood group DRM action plans (iv) assist the PIU Project coordinator to implement project activities, and (v) contribute to development of knowledge products and dissemination of project activities and results.

Expected Outputs - Tasks and Activities

Output 1: Provide technical oversight to and manage all project *soum* field officers on DRM and working with *bagh* neighborhood groups that will develop and implement DRM action plans.

- (i) Design and deliver a training program to project *soum* field officers on disaster risk management by neighborhood groups.
- (ii) Develop a method for project *soum* field officers to organize neighborhood groups in their *baghs*. Train project *soum* field officers in how to organize *baghs* and/or how to engage existing neighborhood groups (such as herder groups) as a DRM neighborhood group.
- (iii) Design and deliver a training program to project *soum* field officers on best practices for neighborhood groups to implement their DRM action plan.
- (iv) Design and deliver training to project *soum* field officers on operating and maintaining equipment provided to *bagh* neighborhood groups to help in implementing their DRM action plans.
- (v) Design and deliver training to project *soum* field officers on constructing small infrastructure, such as animal shelters or animal feed storage facilities.
- (vi) Ensure that project *soum* field officers complete their agreed work outputs according to the PIU plan.

Output 2: Provide advice and assistance to all project *soum* field officers, *bagh* governors, and *soum* governors on reviewing neighborhood group DRM plans and incorporating these into *soum* operating and emergency response plans.

- (i) Develop procedures for incorporating neighborhood group DRM plans into *soum* operating and emergency response plans. Procedures to be approved by PIU Project coordinator and Project Director, after consultation with *soum* governors and *aimag* administrations.
- (ii) Develop and deliver a training program to project *bagh* governors and *soum* governors on how to incorporate *bagh* neighborhood group DRM plans into *soum* operating and emergency response plans.

Output 3: Assist the PIU Project coordinator to ensure implementation of the project in *soums*, as required.

- (i) As delegated by the PIU Project coordinator, ensure all outputs in assigned *soums* are delivered according to approved work plans and budgets.
- (ii) Represent the PIU Project coordinator when required.

Output 4: Work with the PIU Project coordinator and the international CBDRM Specialist on other assignments, as required.

3. Position: PIU Soum Coordinator – National - 9 positions for 33 person-months

Expertise: The candidate shall preferably have a bachelor degree in business, development, or other relevant discipline to disaster risk management. The candidate will preferably have at least 3 to 5 years of experience with communities or on development projects in *baghs* or *soums* in a rural environment.

The candidate shall have prior experience in the *soum* to which he/she is assigned.

Reporting: The position will report to the National DRM Specialist / PIU Deputy Project coordinator.

Duration of contract: 33 person-months

Post Location: One of 9 project *soums* in Dornod, Sukhbaatar, and Khuvsgul *aimags*.

Timing: Starting in November 2016

Scope of work: The expert will (i) participate in all relevant project trainings; (ii) implement project activities in a project *soum*; (iii) work with *bagh* governors to organize DRM neighborhood groups in each *bagh* in the *soum*; (iv) train *bagh* neighborhood groups in how to develop their DRM action plan; (v) train and assist neighborhood groups to implement their action plans; (vi) assist the PIU DRM specialist to work with *bagh* governors and *soum* governors to include *bagh* neighborhood DRM action plans into *soum* operating and emergency response plans; (vii) assist the *bagh* neighborhood groups to update action plans at the end of the project for the next two years; and (viii) contribute to communications and dissemination activities.

Expected Outputs - Tasks and Activities

Output 1: Implement project activities in the *soum*.

- (i) Ensure all outputs in the *soum* are delivered according to approved work plans and budgets.
- (ii) Monitor and report to the PIU Project coordinator on a monthly basis progress on *soum* activities.
- (iii) Provide input to the PIU Project coordinator on annual work plans and budgets.

Output 2: Work with *bagh* governors to organize DRM neighborhood groups in each *bagh* in the *soum*.

- (i) Follow the PIU method for organizing neighborhood groups and/or engaging existing groups (such as herder groups) to also take on DRM accountabilities.

Output 3: Train *bagh* neighborhood groups to develop their DRM action plans.

- (i) Deliver a training program each *bagh* neighborhood group, according to the training program designed by the PIU.
- (ii) Assist *bagh* neighborhood groups as required to complete their DRM action plan.

Output 4: Train and assist *bagh* neighborhood groups to implement their DRM action plan.

- (i) Deliver a training program on implementing their DRM action plan to each *bagh* neighborhood group, according to the training program designed by the PIU.
- (ii) Deliver training to *bagh* neighborhood groups, as required, on operation and maintenance of equipment provided to the group by the project.
- (iii) Deliver training to *bagh* neighborhood groups on building small infrastructure, such as animal shelters or animal feed storage.
- (iv) Assist *bagh* neighborhood groups as required to implement their action plan.

Output 5: Assist the PIU DRM specialist to work with *bagh* governors and *soum* governors to include *bagh* neighborhood DRM action plans into *soum* operating and emergency response plans.

4. Position: PIU Soum Coordinator – National – Sharga Soum, Gobi-Altai - 1 position for 33 person-months

Expertise: The candidate shall preferably have a bachelor degree in business, development, or other relevant discipline to disaster risk management. The candidate will preferably have at least 3 to 5 years of experience with communities or on development projects in *baghs* or *soums* in a rural environment.

The candidate shall have prior experience in the *soum* to which he/she is assigned.

Reporting: The position will report to the National DRM Specialist / PIU Deputy Project coordinator.

Duration of contract: 33 person-months

Post Location: Sharga *soum* in Gobi-Altai *aimag*

Timing: Starting in November 2016.

Scope of work: He/she will (i) participate in all relevant project trainings (ii) implement project activities in a project *soum*; (iii) work with *bagh* governors to organize DRM neighborhood groups in each *bagh* in the *soum*; (iv) train *bagh* neighborhood groups in how to develop their DRM action plan; (v) train and assist neighborhood groups to implement their action plans; (vi) assist the PIU DRM specialist to work with *bagh* governors and *soum* governors to include *bagh* neighborhood DRM action plans into *soum* operating and emergency response plans; (vii) assist the *bagh* neighborhood groups to update action plans at the end of the project for the next two years; (viii) contribute to communications and dissemination activities; and (ix) for the last year of the project, advise in Darvi and Altai *soums* in addition to Sharga.

Expected Outputs - Tasks and Activities

Output 1: Implement project activities in the *soum*.

- (i) Ensure all outputs in the *soum* are delivered according to approved work plans and budgets.
- (ii) Monitor and report to the PIU Project coordinator on a monthly basis progress on *soum* activities.
- (iii) Provide input to the PIU Project coordinator on annual work plans and budgets.

Output 2: Work with *bagh* governors to organize DRM neighborhood groups in each *bagh* in the *soum*.

- (i) Follow the PIU method for organizing neighborhood groups and/or engaging existing groups (such as herder groups) to also take on DRM accountabilities.

Output 3: Train *bagh* neighborhood groups to develop their DRM action plans.

- (i) Deliver a training program each *bagh* neighborhood group, according to the training program designed by the PIU.
- (ii) Assist *bagh* neighborhood groups as required to complete their DRM action plan.

Output 4: Train and assist *bagh* neighborhood groups to implement their DRM action plan.

- (i) Deliver a training program on implementing their DRM action plan to each *bagh* neighborhood group, according to the training program designed by the PIU.
- (ii) Deliver training to *bagh* neighborhood groups, as required, on operation and maintenance of equipment provided to the group by the project.
- (iii) Deliver training to *bagh* neighborhood groups on building small infrastructure, such as animal shelters or animal feed storage.
- (iv) Assist *bagh* neighborhood groups as required to implement their action plan.

Output 5: Assist the PIU DRM specialist to work with *bagh* governors and *soum* governors to include *bagh* neighborhood DRM action plans into *soum* operating and emergency response plans.

5. Position: PIU Soum Coordinator – National - 2 positions in 2 soums, Gobi Altai for 18 person-months

Expertise: The candidate shall preferably have a bachelor degree in business, development, or other relevant discipline to disaster risk management. The candidate will preferably have at least 3 to 5 years of experience with communities or on development projects in *baghs* or *soums* in a rural environment.

The candidate shall have prior experience in the *soum* to which he/she is assigned.

Reporting: The position will report to the National CBRM Specialist / PIU Deputy Project coordinator.

Duration of contract: 18 person-months

Post Location: One in Darvi and one in Altai *soum*, Gobi-Altai.

Timing: Starting in November 2016.

Scope of work: He/she will (i) participate in all relevant project trainings; (ii) implement project activities in a project *soum*; (iii) work with *bagh* governors to organize DRM neighborhood groups in each *bagh* in the *soum*; (iv) train *bagh* neighborhood groups in how to develop their DRM action plan; (v) train and assist neighborhood groups to implement their action plans; (vi) assist the PIU DRM specialist to work with *bagh* governors and *soum* governors to include *bagh* neighborhood DRM action plans into *soum* operating and emergency response plans; and (vii) contribute to communications and dissemination activities.

Expected Outputs - Tasks and Activities

Output 1: Implement project activities in the *soum*.

- (i) Ensure all outputs in the *soum* are delivered according to approved work plans and budgets.
- (ii) Monitor and report to the PIU Project coordinator on a monthly basis progress on *soum* activities.
- (iii) Provide input to the PIU Project coordinator on annual work plans and budgets.

Output 2: Work with *bagh* governors to organize DRM neighborhood groups in each *bagh* in the *soum*.

- (i) Follow the PIU method for organizing neighborhood groups and/or engaging existing groups (such as herder groups) to also take on DRM accountabilities.

Output 3: Train *bagh* neighborhood groups to develop their DRM action plans.

- (i) Deliver a training program each *bagh* neighborhood group, according to the training program designed by the PIU.
- (ii) Assist *bagh* neighborhood groups as required to complete their DRM action plan.

Output 4: Train and assist *bagh* neighborhood groups to implement their DRM action plan.

- (i) Deliver a training program on implementing their DRM action plan to each *bagh* neighborhood group, according to the training program designed by the PIU.
- (ii) Deliver training to *bagh* neighborhood groups, as required, on operation and maintenance

- of equipment provided to the group by the project.
- (iii) Deliver training to *bagh* neighborhood groups on building small infrastructure, such as animal shelters or animal feed storage.
- (iv) Assist *bagh* neighborhood groups as required to implement their action plan.

Output 5: Assist the PIU DRM specialist to work with *bagh* governors and *soum* governors to include *bagh* neighborhood DRM action plans into *soum* operating and emergency response plans.

6. Position: PIU Finance specialist – National (35 person-months)

Expertise: The candidate will have a bachelor degree in accounting, finance or business administration; proven experience in accounting; preferably 5 - 10 years of relevant experience in the public or private sector. The candidate will have past experience in accounting for ADB projects. The candidate will also have knowledge and experience with accounting systems used by the Mongolian government; and sound knowledge of rules, regulations, and practices of accounting. The candidate must have a good command of English (spoken and written).

Reporting: The position will report to the Project coordinator of the PIU of the DRM Project.

Duration of contract: 35 person-months.

Timing: Starting in October 2016.

Scope of Work: The scope of work includes (i) preparing quarterly and annual budgets; (ii) preparing quarterly and annual financial reports; (iii) tracking disbursement progress of the PIU; (iv) completing cash management and disbursements; (v) maintaining a fixed asset system; (vi) calculating and paying personal income tax for contracted FA PIU staff; and (vii) preparing financial and disbursement documents or other financial reports.

Expected Outputs - Tasks and Activities

Output 1: Prepare and monitor budgets

- (i) Prepare quarterly and annual budgets for the PIU
- (ii) Monitor expenditures against budgets on a monthly basis
- (iii) Prepare quarterly and annual financial reports of PIU activities

Output 2: Prepare financial reports

- (i) Monitor expenditures against budget and prepare monthly reports of expenditures
- (ii) Prepare bank reconciliation statements on a monthly basis
- (iii) Prepare financial statements and financial reports
- (iv) Maintain accounting ledgers
- (v) Take responsibility for safe custody of accounting books, all financial related documents and instruments;

Output 3: Manage cash and accounts payable

- (i) Initiate requisitions for payments
- (ii) Arrange payments to suppliers
- (iii) Pay income and other required taxes for contracted PIU staff

Output 4: Request funds from ADB and prepare financial reports for ADB

- (i) Initiate requests for project funds and submit to ADB
- (ii) Respond to queries from ADB with respect to financial aspects of the Project

Output 5: Accounting management

- (i) Prepare and maintain a fixed asset register
- (ii) Liaise with external auditors wherever required

Output 6: Other financial duties as assigned by the PIU Project coordinator

7. Position: PIU Procurement Officer – National (20 person-months)

Expertise: The candidate will have a bachelor degree in accounting, finance or business administration; preferably 5 - 10 years of experience as a national procurement officer in development projects; and past experience in procurement in ADB projects. The candidate will have knowledge and experience with procurement systems of the Mongolia government; knowledge of rules, regulations, and practices of procurement and contracting. The candidate must have a good command of English (spoken and written).

Reporting: The position will report to the Project coordinator of the PIU of the DRM Project.

Duration of contract: 20 person-months.

Timing: Starting in October 2016.

Scope of Work: The scope of work includes managing the procurement duties of the project based on ADB and MOF regulations; prepare and standardize procurement related documents, implement, manage, and monitor the Project's procurement.

Expected Outputs - Tasks and Activities

Output 1: Plan, implement, and monitor the Project's procurement activities.

- (i) Provide advice to the PIU on best practice procurement, based on the policies and guidelines for procurement of ADB and the Mongolian government.
- (ii) For each package in the Project procurement plan,
 - a. Prepare bidding documents for the goods or services required. These include technical specifications for the good or service required, contract conditions that each bidder must accept, and formats/templates for bidders to use in preparing their bids. Submit the draft bidding documents for each procurement package to the PIU and ADB for approval, according to the timelines in the Project work plan.
 - b. Advertise the request for bids for the goods or services as required.
 - c. Prepare a list of qualified bids that are submitted in response to the request for bids.
 - d. Evaluate the bid proposals for technical compliance and financial criteria, and rank the bids.
 - e. Prepare and submit an evaluation report on the bids to the PIU and ADB for approval, as necessary.
 - f. Provide advice to the PIU on the bids and evaluation as required. Provide information to the PIU's procurement steering committee, as appropriate.
 - g. Assist the PIU to finalize a contract with the firm that submits the first-ranked bid.

Output 2: Review and periodically revise, as required by ADB and the PIU, the procurement plan negotiated between ADB and the EA for the grant contract. Submit revisions to the PIU and ADB for approval.

Output 3: Regularly monitor progress on procurement and prepare reports for the PIU and ADB.

- (i) Report progress of the procurement program on a monthly basis to the PIU Project coordinator.
- (ii) Complete quarterly and annual procurement reports.

Output 4: Undertake other duties that may be assigned by the PIU Project coordinator.

8. Position: PIU Administrator – National (33 person-months)

Expertise: The candidate will have a bachelor degree or equivalent in business administration, secretarial or other related fields; 1 or 2 years of relevant experience in the public or private sector; proficiency in current office software applications; must be very fluent English (spoken and written).

Reporting: The position will report to the PIU Project coordinator.

Duration of contract: 33 person-months.

Timing: Starting tentatively between October – November 2016.

Scope of Work: The scope of work includes (i) supporting the PIU Project coordinator, DRM Specialist, Finance specialist, and Procurement Officer as required.

Expected Outputs - Tasks and Activities

Output 1: Administrative management

- (i) Maintain project files and records
- (ii) Assist in preparing reports, as required
- (iii) Arrange external and internal meetings, and workshops
- (iv) Prepare minutes of external and internal meetings
- (v) Make logistic arrangements for project activities
- (vi) Translate documents from Mongolian – English and English – Mongolian as required.
- (vii) Undertake other administrative tasks on an ad hoc basis

9. Community-Based Disaster Risk Management (CBDRM) Specialist – International (6 person-months)

Expertise: The candidate must have a masters degree in social or environmental sciences, development, or other relevant discipline to disaster risk management. A PhD degree is preferred. The candidate will preferably have at least 10 years of experience working with communities and/or on development projects in-country in rural environments, including at least 5 years' experience in CBDRM and related field such as disaster risk reduction, climate change adaptation and resilience Strong preference for candidates who: have worked on DRM planning with local governments or communities before; have been involved in project design and formulation; have a breadth of country experience in the Asia-Pacific region, and some country experience outside the region, but in developing country context; have experience on ADB or World Bank projects.

Reporting: The position will report to the PIU Project coordinator.

Duration of contract: 6 person-months

Post Location: Ulaanbaatar

Timing: Starting in November 2016.

Scope of work: He/she will (i) develop a CBDRM methodology for the project; (ii) provide oversight for *bagh* level disaster risk assessments in each of the project *soums*; (iii) design the structure and methodology for the development of *bagh* neighborhood group CBDRM action plans and the identification of priority actions; (iv) help develop a *soum* level CBDRM plan and facilitate integration of CBDRM action plans in to *soum* level emergency plan; (v) provide advice and training to project *soum* coordinators on CBDRM; and (vi) work with *bagh* neighborhood groups.

Expected Outputs - Tasks and Activities

Output 1: Work with and train the national DRM Specialist to provide advice and training to all project *soum* coordinators on CBDRM, working with *bagh* neighborhood groups, and developing NG CBDRM action plans.

- (i) Design and deliver a training program for project *soum* coordinators on CBDRM by neighborhood groups.
- (ii) Design and deliver a training program for project *soum* coordinators on working with neighborhood groups.
- (iii) Develop a methodology for project *soum* coordinators to apply in establishing *bagh* neighborhood groups. Train project *soum* coordinators in establishing *bagh* neighborhood groups and/or in engaging existing neighborhood groups (such as herder, forest user and pasture user groups) as CBDRM neighborhood groups.

Output 2: In conjunction with the national DRM Specialist, design the methodology for *bagh* neighborhood groups to develop their CBDRM action plans.

- (i) Design and deliver a training program for project *soum* coordinators on best practices for neighborhood groups in developing CBDRM action plans.

Output 3: Design and deliver a training program for project *soum* coordinators on best practices in implementing neighborhood group CBDRM action plans.

Output 4: Monitor progress in implementation of CBDRM action plans for sample *bagh* neighborhood groups.

Output 5: Provide advice and assistance to project *soum* coordinators, *bagh* governors, and *soum* governors on reviewing neighborhood group CBDRM action plans and incorporating them into *soum* emergency response plans.

- (i) Develop procedures for incorporating neighborhood group CBDRM plans into *soum* emergency response plans.
- (ii) Develop and deliver a training program for project *bagh* governors and *soum* governors on how to incorporate *bagh* neighborhood group CBDRM plans into *soum* emergency response plans.

Output 6: Work with the national DRM specialist to design and deliver a training program on

CBDRM for NEMA, LEMA, and *soum* administration officials.

Output 7: Work with the PIU project coordinator to design a symposium on CBDRM best practices and CBDRM project experiences and contribute to other knowledge products as assigned.

10. Position: Social and Gender Specialist – National (8 person-months, intermittent)

Expertise: The candidate shall have a bachelor degree in sociology, social anthropology, or other relevant discipline to social and gender development. The candidate will preferably have at least 5 years of experience with development projects in a rural environment. Experience on ADB or other foreign-funded projects is required. The candidate must have a good command of English (spoken and written).

Reporting: The position will report to the PIU Project coordinator.

Duration of contract: 6 person-months, intermittent

Post Location: Ulaanbaatar

Timing: Starting tentatively between March – April 2017; two months in each of 2017, 2018, 2019.

Scope of work: He/she will

- (i) Lead the analysis of social issues and impacts relevant to the DRM project.
- (ii) Support the international CBDRM specialist and national DRM specialist to help develop the *bagh* neighbourhood plans, including participation in consultations.
- (iii) Assist the PIU to implement the GAP and achieve the targets set in those plans.
- (iv) Advise the PIU, NEMA, LEMAs, and *soums* on social issues and recommend actions, as appropriate.
- (v) Monitor the project's performance against the GAP.

Expected Outputs - Tasks and Activities

Output 1: Review ADB documentation on social and poverty analysis (SPRSS, GAP) and due diligence conducted during project preparation.

Output 2: Prepare plans for and carry out consultations with communities to orient them on the project.

Output 3: Advise the PIU on activities to achieve the targets in the project's GAP, and monitor the progress on GAP activities.

Output 4: Review project activities and priorities to identify any social issues, including any requirements for additional activities in the GAP.

Output 5: Conduct a quick training needs assessment, including any specific needs for female beneficiaries. Design trainings on the basis of the needs assessment, ensuring they are gender sensitive and targeted to specific social needs. Participate in conducting the female-only trainings as stated in the GAP.

Output 5: Orient and advise staff in the PIU, NEMA, LEMAs, and *soums* on poverty and social impacts, participatory approaches, and gender mainstreaming, including the GAP developed for the project.

Output 6: Train PIU staff on effective gender mainstreaming and reporting sex-aggregated data

Output 7: Work with PIU staff on other social and gender assignments, as required.

11. Position: Monitoring and Evaluation Specialist – National (6 person-months, intermittent)

Expertise: The candidate shall have a bachelor degree in business or other relevant discipline to M&E. The candidate will have at least 5 years of experience with development projects in a rural environment. Experience on ADB or World Bank projects is required. The candidate must have a good command of English (spoken and written).

Reporting: The position will report to the PIU Project coordinator.

Duration of contract: 5 person-months intermittent - 3 months in 2017 and one month in each of 2018, 2019

Post Location: Ulaanbaatar

Timing: Starting tentatively between March – April 2017; intermittent through December 2019

Scope of work: He/she will:

- (i) Establish a monitoring and evaluation system, using the project DMF as a guide, for the DRM project that meets the requirements of the government of Mongolia and ADB.
- (ii) Assist the PIU to develop a plan and then implement monitoring of the project.
- (iii) Complete a monitoring and evaluation baseline report for the project.
- (iv) Train PIU staff to complete regular monitoring reports, according to the project DMF and approved monitoring plan.
- (v) Produce a midterm M&E report and a final M&E report on project progress against DMF targets.

Expected Outputs - Tasks and Activities

Output 1: Establish a monitoring and evaluation system for the DRM project that meets the requirements of the government of Mongolia and ADB.

Output 2: Assist the PIU to develop a plan for and then implement monitoring of the project.

Output 3: Complete a monitoring and evaluation baseline report for the project. This should include targets in the DMF, indicators, and data collected for the baseline. This should also include indicators and data as required by the project's GAP.

Output 4: Develop and deliver a training program to PIU staff to complete regular monitoring reports, according to the approved monitoring plan.

Output 5: Produce a midterm M&E report and a final M&E report on the project.

Output 6: Assist on any other information management and project reporting tasks, as required.

VII. SAFEGUARDS

82. **Environment (category C).** The project is categorized as C for environmental safeguards. Under ADB's Safeguard Policy Statement (SPS, 2009), only activities likely to have minimal or no adverse environmental impacts will be implemented under the project. No environmental assessment and formal procedure is required for category C projects although environmental implications need to be reviewed. An environmental management plan (EMP) has been prepared for the project, including safety checklists

83. **Involuntary resettlement, indigenous peoples (category C).** Due diligence confirms that there is no involuntary resettlement or land acquisition. There are some ethnic groups in the project *aimags* but none are considered as triggering indigenous peoples, as there are no (a) communities of indigenous peoples, or (b) groups self-identifying as distinct, or (c) groups with distinct cultural, social, economic or political institutions, living in the project *soums*, as confirmed by due diligence and national census data. The project is based on a participatory pro-poor approach and strives to be all-inclusive, not resulting in negative impacts to any communities irrespective of gender, ethnic or culture grouping. All project activities will be in compliance with ADB's Safeguard Policy Statement (2009).

84. **Prohibited activities.** Pursuant to ADB's Safeguard Policy Statement (2009) (SPS)²⁷ ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the SPS. All project activities will comply with applicable national laws and regulations.

85. **Grievance redress mechanism.** The executing agency and PIU will establish and maintain a grievance redress mechanism (GRM) to receive and facilitate resolution of affected peoples' concerns, complaints, and grievances about the project's environmental and social performance. The GRM will address affected people's concerns and complaints promptly, using an understandable and transparent process that is gender responsive, culturally appropriate, and readily accessible, at no costs and without retribution. The GRM will not impede access to Mongolia's judicial or administrative remedies. The GRM will be introduced during consultation with communities and made publicly available and accessible to the affected people prior and during to project implementation.

²⁷ Available at: <http://www.adb.org/Documents/Policies/Safeguards/Safeguard-Policy-Statement-June2009.pdf>

VIII. GENDER AND SOCIAL DIMENSIONS

86. **Poverty and social impacts.** An SPRSS has been prepared for the project. The project will benefit poor and vulnerable groups by ensuring that these have access to the project. The project is designed for disaster resilience, livelihood stability and poverty reduction and effective gender mainstreaming. Outputs 1 and 2 will strengthen resilience of 3,000 herder households in DRM in up to twelve *soums* of Dornod, Gobi-Altai, Khuvsgul and Sukhbataar *aimags*, which will directly benefit at least 7,000 herders and *soum* center residents in 2,500 households, with about 250 female-headed households. The project will indirectly benefit the wider community in target *soums*, with a population of 32,000 people, of which approximately 49% is female and around 40% is below the poverty line. Under Outputs 2 and 3, around 1,500 residents will receive capacity development; 200 *bagh* residents will have access to shared disaster resilient livestock shelters or fodder storage facilities; 150 *bagh* residents will have access to an improved water source; and 30 *bagh* households will benefit from increased irrigation capacity for livelihood stabilization. Comprehensive training and outreach programs on DRM will be available to all households engaged in the project, especially the poorest. Training will be tailored to local conditions and needs will be identified.

87. The project focuses on existing residents and does not involve influx of workers. Contractors will be required to comply with local labor laws.

88. **Participatory approach.** Opportunities to promote a participatory approach in project *aimags* were identified via a consultative process with local governments and communities. The project's phased-approach allows for a comprehensive, inclusive consultation process early in implementation. This bottom-up planning and community-based approach to DRM enables a high degree of local participation and places control of inclusive decision-making and onus of fulfilling actions, prioritized through collective consensus, on beneficiaries. The plans will be anchored in *bagh* residents' disaster risk perception, social mechanisms and local coping strategies, articulating their realities, needs and priorities. The PIU will coordinate activities with civil society organizations, in particular to align the establishment of *bagh* neighborhood groups and development and implementation of CBDRM action plans with the existing structure, plans and activities of forest user groups (FUGs), pasture user groups (PUGs) and herder groups.

89. **Gender.** The project is classified "effective gender mainstreaming" under ADB's project gender classification system. A gender action plan (GAP) was prepared. Project activities are designed to be participatory and inclusive and will support the involvement of poor herder households and female-headed households. Women already play a very important role in DRM, and the success of some project activities will depend on strong support from females in the target *soums* and *baghs*. The project design emphasizes a participatory and inclusive approach to work with women and men, poor and vulnerable households, civil society organizations and *soum* and *aimag* authorities. The GAP sets targets for project participation, empowerment, and capacity building for women.

90. The GAP comprises 9 actions with 17 indicators, of which 10 have quantitative targets (see table below) and includes minimum targets of 35% to 45% involvement of women in developing the *bagh* neighborhood CBDRM plans and training. Under outputs 1 and 2 the project will support women's participation in project design, trainings and awareness raising activities about DRM, and community-based initiatives on DRM. Under Output 3 the project will support the participation of women in government agencies to participate in project activities on DRM trainings. The GAP is found in Table 10.

Table 10: Gender Action Plan

Activity	Targets / Indicators	Responsibility	Timeframe
Output 1: <i>Bagh</i> neighborhood group CBDRM action plans prepared			
1.1. Conduct community consultations and integrate findings in design and action plans of 120 <i>bagh</i> neighborhood groups on: (i) community perceptions on disaster risks; (ii) local coping mechanisms; (iii) prioritization of actions; and (iv) implementation of actions	1.1.1 Tailored outreach and at least one women-only consultation is held in each target <i>soum</i> 1.1.2 At least 45% of local community consulted for CBDRM risk assessment and project orientation is female	Conducted by PIU staff, <i>soum</i> coordinators, international CBDRM specialist; Monitored by PIU	Year 1
1.2. Establish an incentive mechanism for formulation of <i>bagh</i> neighborhood groups to engage female-headed households	1.2.1 At least 45% of the members of the 120 <i>bagh</i> neighborhood groups formed are women 1.2.2 At least 20% of the 120 <i>bagh</i> neighborhood groups formed are led by women 1.2.3 <i>Women-led bagh</i> neighborhood groups will be given preference for closer access to small-scale infrastructure facilities	Conducted by PIU staff, <i>soum</i> coordinators, international CBDRM specialist; Monitored by PIU	Year 1
1.3. Ensure women's participation in project awareness activities and trainings on CBDRM and <i>bagh</i> neighborhood group mechanics	1.3.1 At least 35% of participants in all awareness sessions and trainings for target <i>soums</i> are women 1.3.2 100% of women leading <i>bagh</i> neighborhood groups are trained 1.3.3 Gender-specific needs and priorities are assessed and addressed (including training venues and timing)	Conducted by PIU staff, <i>soum</i> coordinators, international CBDRM specialist; Monitored by PIU	Year 1–2
Output 2: Small-scale infrastructure, equipment and technology for disaster resilience piloted			
2.1. Ensure women are consulted in collective consensus building on: (i) selection of type of small-scale infrastructure; (ii) location of small-scale infrastructure; and (iii) prioritization of preparedness and response equipment, as relevant	2.1.1 Consensus on type and location of infrastructure, and selected equipment is signed off in each action plan by both spouses from each beneficiary household	Conducted by PIU staff, <i>soum</i> coordinators, international CBDRM specialist; Monitored by PIU	Year 1–2

Activity	Targets / Indicators	Responsibility	Timeframe
2.2 Ensure women are consulted in decisions and collective consensus building on location of water wells	2.2.1 At least 45% of all <i>bagh</i> neighborhood group members consulted on location selection in each of the 3 Gobi-Altai <i>soums</i> receiving water wells are women	Conducted by PIU staff, <i>soum</i> coordinators and civil works contractors; Monitored by PIU	Year 1–2
2.3 Improve knowledge and awareness of female-headed households on use of equipment and facilities for fighting fires and protecting against <i>dzud</i>	2.3.1 At least 80% of female-headed households engaged in the project participate in project trainings 2.3.2 Training reports with sex-disaggregated data	Conducted by PIU staff, <i>soum</i> coordinators; Monitored by PIU	Year 2
Output 3: CBDRM capacity of NEMA, LEMAs and <i>soum</i> administrations strengthened			
3.1 Train local female officials at LEMAs and NEMA on CBDRM	3.1.1 At least 20% of the 60 NEMA and LEMA staff trained in local disaster preparedness and CBDRM are women	Conducted by PIU staff, international CBDRM specialist; Monitored by PIU	Year 2–3
3.2 Ensure that beneficiary women provide feedback on the project results and share learnings	3.2.1 At least 35% of participants at the project completion symposium are women 3.2.2 At least 70% of NEMA and LEMA female officers trained under the project attend the project completion symposium	Conducted by PIU staff, international CBDRM specialist; Monitored by PIU	Year 3
3.3 Appoint a social and gender focal at the PIU level	3.3.1 An effective social and gender specialist is engaged (intermittently) for the PIU 3.3.2 All PIU staff trained by gender specialist on effective gender mainstreaming and reporting sex-aggregated data	Engaged by executing agency; Trained by international CBDRM specialist; Monitored by PIU, executing agency, ADB project team	Intermittent throughout project lifetime

CBDRM = community-based disaster risk management, LEMA = Local Emergency Management Agency, NEMA = National Emergency Management Agency, PIU = project implementation unit.

Source: Asian Development Bank.

IX. PERFORMANCE MONITORING, EVALUATION, REPORTING AND COMMUNICATION

A. Project Design and Monitoring Framework (DMF)

Impacts the Project is aligned with: <ol style="list-style-type: none"> 1. National safety through risk and vulnerability reduction, and strengthened disaster management enhanced (Mongolia State Disaster Protection Policy 2011) 2. Disaster resilience in developing member countries strengthened (ADB's Operational Plan for Integrated Disaster Risk Management, 2014-2020) 			
Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting	Risks
Outcome Capacity of local <i>bagh</i> residents and national and local DRM administration units to manage risks from <i>dzud</i> and forest and steppe fires is strengthened	By 2020: Loss of livestock caused by <i>dzud</i> conditions reduced by 10% in project <i>soums</i> (Baseline 2016: TBD) Loss of livestock caused by fires reduced by 15% in project <i>soums</i> (Baseline 2016: TBD) Number of community infrastructure damaged by fires reduced by 20% in project <i>soums</i> (Baseline 2016: TBD)	NEMA's Disaster Research Institute data National Registration and Statistics Office's annual livestock census Ministry of Food and Agriculture data	Changes in local or national political leadership disrupting implementation of DRM actions Major hazard event in project or surrounding area
Outputs 1. <i>Bagh</i> neighborhood group CBDRM action plans prepared	By 2018: 120 <i>bagh</i> neighborhood groups registered with <i>bagh</i> governor (of which at least 20% have female leaders; with at least 45% female membership) (Baseline 2016: 0) At least 90 <i>bagh</i> neighborhood groups have CBDRM action plans signed off by <i>bagh</i> governors (Baseline 2016: 0) By 2019: At least 150 households in <i>soum</i> centers and 500 households outside the <i>soum</i> centers receive training in CBDRM (at least 35% of participants are women) (Baseline 2016: 0) 12 <i>soum</i> emergency response plans are expanded to integrate neighborhood CBDRM action plans (Baseline 2016: 0)	<i>Soum</i> emergency / development plans Quarterly progress / implementation reports produced by PIU ADB review mission reports	Communities are limited in ability to participate in project activities due to time constraints and nomadic lifestyle Limited uptake in local sector / development plans due to low levels of buy-in from local leadership High turnover of <i>bagh</i> or <i>soum</i> administration trained under the project Possible out-migration of capacitated herders from project areas
2. Small-scale infrastructure, equipment, and technology for disaster resilience piloted	By 2019: At least 5,000 <i>bagh</i> residents are accessing improved infrastructure and equipment (of which at least 40% are female) (Baseline 2016: 0) At least 60 <i>bagh</i> neighborhood groups have improved designs or	Quarterly progress / implementation reports produced by PIU ADB review mission reports	Structures used for unintended purposes Severe weather conditions may limit implementation of project activities or damage project

	<p>materials for building livestock shelters or fodder storage facilities (of which at least 20% are female-headed) (Baseline 2016: 0)</p> <p>At least 150 <i>bagh</i> residents have access to an improved water source (of which at least 40% are women) (Baseline 2016: 0)</p> <p>At least 2 <i>soums</i> are using pilot forest fire early warning system (Baseline 2016: 0)</p> <p>5 <i>soums</i> have firebreaks (Baseline 2016: 0)</p>		<p>infrastructure</p> <p>Limited accessibility to remote project sites may delay project implementation</p>
3. CBDRM capacity of NEMA, LEMAs, and <i>soum</i> administrations strengthened	<p>By 2019:</p> <p>At least 60 NEMA and LEMA staff trained in local disaster preparedness and CBDRM (of which at least 20% are women) (Baseline 2016: 0)</p> <p>4 LEMAs better prepared for emergency response and CBDRM (Baseline 2016: 0)</p> <p>At least 20 staff from NEMA and LEMA are using GIS to update and apply disaster data (Baseline 2016: 1)</p> <p>At least 100 participants attend the final review symposium (at least 35% of which are women) (Baseline 2016: 0)</p>	<p>NEMA annual reports</p> <p>Feedback from quarterly inter-agency coordination meeting organized by NEMA</p> <p>Final project completion report</p> <p>Report from final review symposium</p>	<p>Lack of commitment from various level of administration to coordinate efforts on DRM</p> <p>NEMA personnel have limited experience in financial management and procurement</p> <p>High employee turnover in NEMA and LEMAs receiving training</p>

Key Activities with Milestones

1. ***Bagh* neighborhood group CBDRM action plans prepared**

- 1.1. Conduct training of project *soum* field officers on working with community groups, CBDRM, and project outputs and activities (Q1 2017)
- 1.2. Orient *bagh* communities and *soum* administrations on CBDRM and the project (Q2 2017)
- 1.3. Recruit and register *bagh* neighborhood groups (Q2 2017)
- 1.4. Train *bagh* neighborhood groups on disaster risk assessment and development of action plans (Q2 2017)
- 1.5. Conduct disaster risk assessments based on consultations with the *bagh* neighborhood groups and existing secondary risk information (Q3 2017)
- 1.6. Assist *bagh* neighborhood groups to draft, revise and finalize action plans, including identification of infrastructure, training, management needs, communication mechanisms, etc. (Q4 2017)
- 1.7. Submit *bagh* neighborhood group plans to *bagh* governor and *soum* administrations for approval (Q4 2017)
- 1.8. Train *bagh* neighborhood groups on how to implement their action plan and monitor plan implementation (Q4 2017–Q4 2018)
- 1.9. Expand the existing *soum* emergency management plans to include multi-hazard CBDRM considerations based on aggregated *bagh* neighborhood group action plans (Q2 2018)
- 1.10. Assist *bagh* neighborhood groups to update action plans at the end of the project (Q3 2019)

2. **Small-scale infrastructure, equipment, and technology for disaster resilience piloted**

- 2.1. Provide equipment and personal protective gear for *bagh* neighborhood groups in Dornod, Sukhbaatar, and Khuvsgul *soums* with high risk of fires (Q1 2018)
- 2.2. Design shelters for livestock and fodder storage facilities for *bagh* neighborhood groups in Dornod, Gobi-Altai, and Sukhbaatar *soums* with high risk of *dzud* (Q2 2018)
- 2.3. Conduct construction demonstrations in each *soum*, *Bagh* neighborhood groups in Dornod, Gobi-Altai, and Sukhbaatar *soums* build shelters/storage facilities to increase resilience to *dzud*. (Q3 2018)

Key Activities with Milestones	
2.4	Construct wells and water points for <i>bagh</i> neighborhood groups in Gobi-Altai with high risk of <i>dzuds</i> (Q3 2018)
2.5	Provide barometers for early warning purposes to <i>bagh</i> neighborhood groups in Gobi-Altai with high risk of <i>dzuds</i> (Q1 2018)
2.6	Support alternative livelihood options by rehabilitating two irrigation systems in Sharga <i>soum</i> to (i) increase hay production, and (ii) expand vegetable growing, respectively (Q2 2018)
2.7	Design and cut firebreaks along <i>soum</i> borders to prevent steppe fire spreading in Dornod and Sukhbataar (Q2 2018)
2.8	Design and cut firebreaks and provide water tanks to prevent forest fire spreading in Khuvs gul (Q3 2018)
2.9	Equip border patrol in Khuvs gul to assist in responding to forest fires (Q1 2018)
2.10	Design and pilot forest fire early warning system in two Khuvs gul <i>soums</i> (Q2 2018)
3.	CBDRM capacity of NEMA, LEMAs, and <i>soum</i> administrations strengthened
3.1	Design and conduct trainings to <i>soum</i> administrations on role of <i>bagh</i> neighborhood groups in disaster resilience (Q4 2017)
3.2	Design and conduct a “train the trainer” program for NEMA and LEMA on disaster resilience (Q2 2018)
3.3	Improve NEMA’s GIS capabilities by upgrading disaster database and communication among NEMA, LEMA, <i>soums</i> (Q3 2018)
3.4	Design and conduct training on GIS basics and remote sensing for NEMA and LEMA “super users” (Q4 2018)
3.5	Provide siren systems, radio phones and GPS equipment for relevant <i>soums</i> and LEMAs (Q1 2018)
3.6	Provide personal protective gear for project LEMAs and <i>soum</i> administrations for fire response, and to MOFA to administer livestock medicine for <i>dzud</i> resilience (Q1 2018)
3.7	Provide specialized road unblocking equipment to project LEMAs to increase accessibility in <i>dzud</i> or other severe weather conditions (Q1 2018)
3.8	Provide light equipment to Dornod and Sukhbataar LEMAs for fighting steppe fires (Q1 2018)
3.9	Develop and disseminate knowledge of project activities, publications, implement stakeholder communications (Q4 2019)
3.10	Organize and host a symposium to present learnings and applications of training and pilot demonstration under the project (Q4 2019)
Project Management Activities	
Establish a PSC to guide grant implementation	
Establish a PIU to support grant implementation, coordination, and technical capacity of NEMA	
Recruit consultants for PIU	
Monitor and evaluate project impact, outcome, and outputs using the project performance management system; submit semi-annual progress reports until 2019	
Prepare inception (Q1 2017), midterm (Q3 2018) and final (Q 2019) reports	
Support bi-annual project review missions until 2019	
Inputs	
JFPR:	\$3,000,000
Government:	\$200,000

ADB = Asian Development Bank, CBDRM = Community-based Disaster Risk Management, DRM = Disaster Risk Management, GIS = geographic information system, GPS = global positioning system, JFPR = Japan Fund for Poverty Reduction, LEMA = Local Emergency Management Agency, MOFA = Ministry of Food and Agriculture, NEMA = National Emergency Management Agency of Mongolia, PIU = project implementation unit, TOR = terms of reference.

Source: Asian Development Bank.

B. Monitoring

91. **Project performance monitoring.** A project performance monitoring system (PPMS) will be established for the project.²⁸ The design and monitoring framework (DMF) forms the basis for monitoring the project progress. During project implementation, the PPMS, through the project performance report, will monitor the likelihood that key milestone dates for activities, outputs, outcome, and impact will be achieved. For the impact, measured 5 years after project completion, this will be indirectly through monitoring assumptions and risks. The DMF will be reviewed during the project implementation and if needed, adjusted to reflect changing circumstances and project environments so that the project outcome can be achieved. Following project completion, the project is subject to an assessment of the outcome along with recommendations for enhancing and sustaining the outcome. A project completion report will also include a preliminary assessment of the impact. The project impact, outcome, outputs, and targets and indicators can be seen in the DMF.

92. The PIU will monitor project implementation through the progress of the PIU team members as well as feedback from the executing agency, project steering committee, project beneficiaries, and other stakeholders. ADB will monitor project performance in five aspects, i.e., technical, procurement, disbursement, financial management, and safeguards (social and environment), through the executing agency's semi-annual progress reports (prepared by the PIU and endorsed by the executing agency), day-to-day communication with the PIU, and ADB review missions.

93. The PIU will prepare and submit semi-annual project progress reports. These will include compliance monitoring with any conditions and covenants stipulated in the grant agreement; DMF activities and targets; environmental and social safeguards monitoring; and gender and social dimensions.

94. The PIU will prepare and submit semi-annual project progress reports. These will include compliance monitoring with any conditions and covenants stipulated in the grant agreement; DMF activities and targets; environmental and social safeguards monitoring; and gender and social dimensions.

95. **Compliance monitoring.** The PIU on behalf of the executing agency will monitor compliance with covenants stipulated in the grant agreement. ADB will monitor the compliance status through the executing agency's semi-annual progress reports, day-to-day communication with the PIU, and ADB review missions; and take necessary remedial measures for any non-compliance.

96. **Environmental safeguards monitoring.** An environmental monitoring plan, including safety checklists (Appendix 5) have been prepared and will be used to monitor compliance of contractors with the site-EMPs. The PIU will monitor project performance, including environmental safeguards as part of the project performance monitoring and report it in the

²⁸ ADB's PPMS is a coherent and results-based approach to project planning, performance monitoring, and evaluation of results. The PPMS comprises five components: (i) DMF; (ii) project performance report (PPR); (iii) grant recipient's monitoring and evaluation (at the central, and executing and implementing agencies levels); (iv) project completion report (PCR); and (v) project performance evaluation report (PPER), and where appropriate, impact evaluation studies. The DMF provides the basis upon which the PPMS operates. It does this by establishing quantified, time-bound targets and measurable indicators, and by identifying key risks and assumptions that are used to monitor and evaluate performance in the PPR, PCR, and PPER.

semi-annual project progress reports. The PIU will immediately inform the executing agency and ADB of any unanticipated environmental safeguard concerns. Corrective actions will be developed as needed, and agreed between the executing and implementing agencies, PIU, affected persons, and any other relevant agencies.

97. **Social safeguards monitoring.** The PIU will monitor project performance, including social safeguards as part of the project performance monitoring and report it in the semi-annual project progress reports. The PIU will immediately inform the executing agency and ADB of any unanticipated social safeguard concerns. No involuntary resettlement impacts will occur due to the project.

98. **Gender and social dimensions monitoring.** The PIU social and gender specialist will record sex-disaggregated data and information on the social, gender, and participatory aspects of the project during the project activities. Monitoring and evaluation of the GAP will be incorporated into the project reporting. The social and gender specialist will prepare an semi-annual report on GAP implementation and progress, as part of the semi-annual project progress reports, and will work closely with the project communities.

C. Evaluation

99. Project performance will be regularly monitored and rated through ADB's e-Operations project implementation module. ADB's overall grant implementation rating will be made based on five performance indicators: technical, procurement, disbursement, financial management, and social and environmental safeguards (Section IX.B). Such rating will be updated semi-annually based on executing agency's semi-annual project progress reports and/or ADB review missions. Within 6 months of physical completion of the project, NEMA (executing agency) will submit a grant completion report to ADB.²⁹

100. ADB will conduct an inception mission when the grant becomes effective. ADB and the government will jointly field one to two project review missions a year. The missions will (i) review overall implementation of the project and update, in consultation with the executing agency, the project implementation schedule; (ii) examine existing and potential implementation problems, and find out measures with the executing agency to resolve them; (iii) review progress in procurement and disbursement; (iv) review the grant recipient's compliance with grant covenants and, where there is any noncompliance or delay, discuss proposed remedial measures; and (v) assess the likelihood of attaining the project's outcome.

101. ADB and the government will undertake a midterm review at the beginning of the third year of project implementation, to assess implementation status and take appropriate measures—including modification of scope and implementation arrangements, and reallocation of grant proceeds, as appropriate—to achieve the project's outcomes and impact.

102. A final ADB review mission will take place within six months after physical completion of the project. This mission will: (i) assess project performance against targets and benchmarks including any revision(s) as agreed during the midterm review; (ii) identify any incomplete activities, or unused project funds; and (iii) determine the project satisfactory rating. A project completion report will be prepared, in cooperation with the government. In case the project is

²⁹ Project completion report format is available at: <http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-Landscape.rar>

selected as a sample of projects for project performance evaluation reporting, the project will be subject to more detailed performance evaluation and impact assessment about three or more years after completion.

D. Reporting

103. The PIU, on behalf of the executing agency, will provide ADB with: (i) semi-annual project progress reports in a format consistent with ADB's project performance reporting system; (ii) consolidated annual reports including (a) progress achieved by output as measured through the indicator's performance targets against the baseline data, (b) key implementation issues and solutions; (iii) updated procurement plan; (iv) updated implementation plan for each 12 months; and (v) a project completion report³⁰ within six months of physical completion of the project. The completion report will present the government's assessment of the project's effectiveness and will take account of findings of the ADB's final review. To ensure that the project continues to be viable and sustainable, project accounts and the executing agency audited financial statements, together with the associated auditor's report, should be adequately reviewed.

104. The PIU shall include the results of implementing the GAP and SPRSS in the semi-annual reports to be submitted by the executing agency to ADB.

105. **Donor visibility.** All project reports, training programs, seminars, workshops, materials, and equipment financed by the JFPR grant will clearly indicate the funding from the Government of Japan (GOJ) and display the JFPR and Japan Official Development Assistance logos.³¹ All project press releases issued by ADB will refer to the financial contribution from the GOJ. The GOM, including the executing and implementing agencies, are requested to ensure that JFPR-financed activities are well covered by local print, electronic and social media, and that all related publicity materials, official notices, reports and publications explicitly acknowledge Japan as the source of funding received. The executing agency and PIU will collect and maintain a database of high-resolution photographs of the project activities, for use in project communication activities and for provision to the GOM, ADB, and Embassy of Japan in Mongolia, which may use them for public awareness and visibility purposes.

106. **Dissemination of project results to the Government of Japan.** The PIU will provide the executing agency and implementing agencies and ADB with reporting materials on the project activities, including high resolution photos, testimonials from project recipients and implementers, publications, and other knowledge products. In turn, the ADB project team will provide this information to ADB's Office of Co-Financing Operations–Japan team, as well as back-to-office reports, inception, midterm review, and completion reports.³² Information and methods for donor visibility and coordination are described in Appendices 1 and 2.

E. Stakeholder Communication Strategy

107. A stakeholder communication strategy has been prepared for the project (Appendix 3). The project requires stakeholder participation and ownership, especially from local communities and households engaged in the project. The communication strategy prescribes timely and inclusive dissemination of project progress and the opportunity for public feedback. The strategy

³⁰ Format available at: <http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-Landscape.rar>

³¹ ADB. 2016. *Japan Fund for Poverty Reduction. Guidance Note on Visibility of Japan*. Manila.

³² ADB. 2016. *Japan Fund for Poverty Reduction. 2016 Policy Guidelines for Project Grants*. Manila.

focuses on three objectives: (i) effective communication with the project stakeholders to achieve informed and supportive engagement; (ii) project visibility and media; and (iii) coordination and alignment of the project activities with other donor programs.

108. Public disclosure of project documents and activities will be made available through a project website, to be established after project effectiveness, as well as other dissemination approaches. Donor visibility (Section IX.D) is part of these activities.

X. ANTICORRUPTION POLICY

109. ADB reserves the right to investigate, directly or through its agents, any violations of the Anticorruption Policy relating to the Project.³³ All contracts financed by ADB shall include provisions specifying the right of ADB to audit and examine the records and accounts of the executing agency and all Project contractors, suppliers, consultants and other service providers.

110. Individuals/entities on ADB's anticorruption debarment list are ineligible to participate in ADB-financed activity and may not be awarded any contracts under the Project.³⁴

111. To support these efforts, relevant provisions are included in the Grant Agreement for the project.

³³ Available at: <http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf>

³⁴ ADB's Integrity Office web site is available at: <http://www.adb.org/integrity/unit.asp>

XI. ACCOUNTABILITY MECHANISM

112. People who are, or may in the future be, adversely affected by the project may submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-assisted projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures.

113. Before submitting a complaint to the Accountability Mechanism, affected people should make a good faith effort to solve their problems by working with the concerned ADB operations department. Only after doing that, and if they are still dissatisfied, should they approach the Accountability Mechanism.

114. Details of the grievance redress mechanism (GRM) for the project³⁵ are in the PAM, section VII.

³⁵ For further information see: <http://www.adb.org/Accountability-Mechanism/default.asp>.

XII. RECORD OF PAM CHANGES

115. All revisions/updates during course of implementation should be retained in this Section to provide a chronological history of changes to implemented arrangements recorded in the PAM.

A. Change in Contract Awards and Disbursement Projections

1. Taking into consideration start-up delays, the contract awards and disbursement projections were revised prior to effectiveness. The table below supersedes the contract awards and disbursement projections in Table 7, Section F, of this PAM.

Baseline Projections

JFPR 9187-MON: Strengthening Community Resilience to Dzud and Forest and Steppe Fires Project Version 1 (Project Effectiveness)

	Contract Awards (in USD million)					Disbursements (in USD million)				
	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total
2017	0.000000	0.000000	0.125000	0.125000	0.250000	0.000000	0.000000	0.000000	0.300000	0.300000
2018	0.000000	0.068030	0.506803	0.500000	1.074833	0.000000	0.000000	0.300000	0.400000	0.700000
2019	0.000000	0.054033	1.065988	0.555146	1.675167	0.000000	0.300000	0.510674	0.502978	1.313652
2020	0.000000	0.000000	0.000000	0.000000	0.000000	0.000000	0.300000	0.386348	0.000000	0.686348
	Total Contract Awards				3.000000	Total Disbursements				3.000000

JAPAN FUND FOR POVERTY REDUCTION – GUIDANCE NOTE ON VISIBILITY OF JAPAN

I. Introduction

On 6 October 2009, the Asian Development Bank Board of Directors approved the Revised Operating Framework for the Japan Fund for Poverty Reduction (JFPR), thereby combining Japan's project grant and technical assistance support under one umbrella, and paving the way for a more comprehensive approach to the use of these funds towards addressing poverty, building up human resources, and empowering institutions and communities in the region. Japan has been making generous contributions for technical assistance activities through the Japan Special Fund, and for poverty reduction projects through JFPR, since they were established in 1988 and 2000, respectively. It is but fitting and proper that said contributions are acknowledged and the recipients and general public are informed of the source of the funding assistance both at the Fund level and at the level of the individual technical assistance (TA) and project grants. The purpose of this note is to provide guidance on measures to ensure that the contribution of Japan in supporting JFPR is widely recognized.

II. Statement on Japanese Visibility

The JFPR Policy Guidelines provide general guidance on Japan Visibility and Coordination with Local Embassy of Japan Officials. More specifically, task teams are encouraged to help promote the visibility and local awareness of JFPR in recipient countries through the following:

- (a) Publications, training programs, seminars and workshops financed by JFPR grants should clearly indicate that the activities in question have received funding from the Government of Japan;
- (b) The JFPR logo (see below) should be used in publications financed by the JFPR program, and in banners and any other materials used in seminars and training programs financed by JFPR grants;
- (c) All press releases issued by ADB with respect to JFPR grants should refer to the financial contribution from the Government of Japan (GOJ);
- (d) Recipients should be encouraged to ensure that JFPR-financed activities are well covered by local print and electronic media, and that all related publicity materials, official notices, reports and publications explicitly acknowledge Japan as the source of funding received;
- (e) Grant signing ceremonies in the field should be encouraged, with the Recipients being encouraged to include Japanese embassy officials and to invite local and international press to these ceremonies; and
- (g) Civil works, project billboards/signages, vehicles, and equipment should carry the JFPR and Japan Official Development Assistance (ODA) (see below) logos.

In addition, Office of Cofinancing Operations (OCO) may promote visibility of JFPR by: (i) informing Country Directors of the importance of signing ceremonies to Japanese officials and the public to ensure recognition and support for JFPR funding; and (ii) continuing widespread distribution of the JFPR Annual Report, inclusion of JFPR information in relevant ADB documents, and occasional information sessions for Japanese organizations. Below are examples of other ways to improve visibility.

III. The JFPR and Japan ODA Logos

The JFPR and Japan ODA logos will be used on the JFPR website. All grant approval notifications will include this guidance note and a printout of the logos. Soft copies (a pdf version and an Adobe Illustrator version) may be downloaded from the Cofinancing Website for use by the ADB and transmission to grant recipients. The ADB will make every effort to ensure that: (i) publications, training programs, seminars, workshops, financed by the JFPR grants clearly indicate that the activities in question have received funding from the Government of Japan; (ii) all press releases issued by the ADB with respect to the JFPR grants refer to the financial contribution of Government of Japan; and (iii) the logos are used in publications financed by the JFPR program, banners and any other materials used in seminars and training programs financed by the JFPR grants; as well as on civil works projects, vehicles, equipment, etc.

IV. Local Publicity Opportunities

In addition to the use of the logos, ADB staff are urged to take all appropriate measures to encourage Recipients to ensure that JFPR-financed activities are well covered by local print and electronic media, and that all related publicity materials, official notices, reports and publications explicitly acknowledge Japan as the source of funding received. Below is a standard text suggested for use by those who prepare publicity materials: "The grant which financed this (name of activity) was received under the Japan Fund for Poverty Reduction which is financed by the Government of Japan."

Many ADB Resident Missions periodically publish newsletters. New grant approvals, signing ceremonies, and major project activities should be publicized in these newsletters. Most country offices have External Relations staff. Project/TA teams are encouraged to consult with them on ways to increase the visibility of Japan regarding JFPR grants. Opportunities to publish articles on high visibility projects prepared with the JFPR TA and project grants should be explored and utilized. Project/TA teams are advised to brief the Country Directors about the implementation status of JFPR grants. Such information will help the Resident Missions highlight Japan's contribution, where relevant, in their meetings and presentations in seminars and workshops.

V. Ceremonial Events

Country Directors, Division Directors, and the Project/TA Officers will receive notification of grant approvals and will be informed of the importance of signing ceremonies to Japanese officials and the public. At grant signing ceremonies and other publicity events, the ADB's country-based staff are expected to foster the attendance and participation of country-based officials of the Embassy of Japan in a manner that provides due recognition of their donor status. Grant recipients should take the lead in organizing such ceremonies, and whenever possible, Recipients should issue the formal invitation to attend. Such ceremonial events should also be alerted to the media and publicity outlets referred to above.

VI. Participation of Japanese Entities in Implementation

To promote GOJ's continued support for JFPR, it is also important to generate visibility for the project within Japan. OCO will promote the visibility of the JFPR by: (i) informing Office and Department Heads of the importance of achieving high visibility in order to garner support for the JFPR from Japanese officials and taxpayers; (ii) encouraging TA components that involve or cooperate with Japanese experts, expertise, financial resources and technologies; and (iii) continuing widespread distribution of the JFPR Annual Report, inclusion of JFPR information in

relevant ADB documents, and occasional information sessions on JFPR for Japanese organizations. In terms of enhancing the visibility of Japan, it is highly recommended that ADB involve and cooperate with Japanese organizations including NGOs, civil society organizations, aid agencies in particular JBIC and JICA, private sector enterprises or academic institutions.

VII. Visibility at ADB Headquarters

Country-based ADB staff are requested to forward copies of all visibility material, such as press releases, newspaper and magazine articles, and photographs (including descriptive captions) to the following address: Japan Partnerships Team, Office of Cofinancing, Asian Development Bank, 6 ADB Avenue, Ortigas Center Mandaluyong City 1550 Philippines.

JAPAN FUND FOR POVERTY REDUCTION – GUIDANCE NOTE ON COORDINATION WITH THE EMBASSY OF JAPAN AND JICA

I. INTRODUCTION

The Final Report on the Review of Japanese Official Development Assistance (ODA) underscores the need for strategic and effective aid. One way to ensure alignment of Japan Fund for Poverty Reduction (JFPR) projects and technical assistance (TA) with Government of Japan's (GOJ) bilateral assistance strategy for a particular developing member country (DMC) is by bringing on board the comments and suggestions of the Embassy of Japan (EOJ). Thus, under JFPR, project officers are required to consult with the local EOJ about the project proposal before submitting the TA Summary and Report/Grant Summary and Report and Recommendation to the President (RRP) to Office of Cofinancing (OCO) for processing. This Guidance Note provides detailed instructions regarding coordination activities with the EOJ and Japan International Cooperation Agency (JICA).

II. EOJ AND JICA CONTACT PERSONS

The names of EOJ and JICA contact persons and their contact details are listed in a table which is posted in the OCO website. The list is provided to OCO by Japan's Ministry of Finance and is updated from time to time. It is important to confirm the details in the table before contacting EOJ.

III. ROLE OF THE RESIDENT MISSION AND OCO

Communications with EOJ and JICA should be done with copy to the Resident Mission (RM) or the relevant Country Officer at ADB HQ and with OCO. If needed, RM's assistance may be sought to arrange the meeting with EOJ and JICA.

RM's role is also crucial in arranging the Grant Agreement/TA letter signing event (section V) and in overall coordination/relationship management with EOJ and JICA.

IV. CONSULTATION WITH EOJ AND JICA – CONCEPT STAGE

A meeting with the EOJ and JICA contact person should be scheduled during the Fact-Finding Mission. During the meeting, the Grant or TA Summary, together with the Design and Monitoring Framework, must be explained to and discussed with the embassy officer.

The Grant or TA Summary and the Design and Monitoring Framework should be submitted to EOJ and JICA at least five working days before the consultation to give EOJ time to review the document.

Any comments made by EOJ and/or JICA should be reflected and a summary of the consultation should be included in the final TA Summary and Report (TSR) or Grant Summary and RRP (GSR) as the case may be.

The project officer should exert all efforts to meet with EOJ and JICA contact persons. However, if a meeting with EOJ and/or JICA is not possible, email exchange, telephonic discussion or any other form of inter-active communication may be used. In such cases, an email containing EOJ's/JICA's comments on the proposal should be sought and reflected in the final proposal.

In the case of Regional TAs, draft TSRs and DMFs should be sent by email to EOJ and JICA focal persons on no-objection basis.

V. COORDINATION WITH EOJ AND JICA – UPON APPROVAL OF THE PROPOSAL

Once the proposal has been approved by ADB, the project officer should inform EOJ and JICA about the approval. Project officers are strongly encouraged to stage signing ceremonies or launching ceremonies for JFPR projects, etc., with the attendance of EOJ officials.

In coordination with the RM, the project officer should inform EOJ as well as OCO – which will alert the Japanese authorities in Tokyo – at least 10 working days in advance of the signing ceremony. The project officer should also draft news release in consultation with the Department of External Relations and coordinate arrangements for the RM to invite the local and international press to these ceremonies.

VI. COORDINATION WITH EOJ AND JICA – DURING PROJECT IMPLEMENTATION AND UPON PROJECT COMPLETION

From time to time, EOJ and JICA should be informed about project progress and milestones especially when major changes in scope and objectives are required. Throughout all phases of the project, from concept to completion, the project officers should answer inquiries from EOJ and JICA regarding the project and discuss where necessary. EOJ and JICA officials may also wish to join progress and completion review missions in order to see project results and to interact first-hand with project recipients.

Project officers are also required to share information on the outcomes and lessons from JFPR projects and TAs with EOJ and JICA in the field to enable both sides to explore and seek potential collaboration.

STAKEHOLDER COMMUNICATIONS STRATEGY

Objective	Risk	Audience	Desired Behavior	Information Needs	Channel / Activity	Timing	Responsibility	Resource Needs	Expected Outcome
OBJECTIVE 1: EFFECTIVE COMMUNICATION WITH PROJECT STAKEHOLDERS									
Output 1. <i>Bagh</i> neighborhood group CBDRM action plans prepared.									
Effective communication with communities in project <i>baghs</i> for informed and supportive engagement	Limited engagement due to poorly informed communities, or due to time limitation	Residents of all 12 project <i>soums</i> across the four project <i>aimags</i> , namely Dornod, Sukhbaatar, Khuvsgul, and Gobi-Altai	Well informed herders and <i>soum</i> center households engage in <i>bagh</i> neighborhood groups	Disaster risk assessments based on consultations with the <i>bagh</i> neighborhood groups and existing secondary risk information Awareness raising information on CBDRM and the role of <i>bagh</i> neighborhood groups in the project	The project's orientation program and CBDRM training Meeting venues in each project <i>soum</i> Designated information points in each project <i>soum</i> (likely the <i>soum</i> governor's offices) Posters, forms in Mongolian on meeting locations and times Local media e.g. TV, radio	2017–2019	Executing Agency, PIU	PIU staff time Printed materials (posters, forms) Project media budget line	Engagement of herder and <i>soum</i> -center households in <i>bagh</i> neighborhood groups, completion of action plans by each group, endorsement of plans by <i>bagh</i> governors, and implementation of action plans by each group
Output 2. Small-scale infrastructure, equipment, and technology for disaster resilience piloted.									
Effective communication with remote households in project <i>soums</i> , especially poor households and female-headed households, so they may access and benefit from the project	Limited engagement from poor, remote and female-headed households due to limited means of transport or communication	Herder families in project <i>baghs</i> , and participating (12) <i>soum</i> governors' offices	<i>Bagh</i> neighborhood groups formed; CBDRM action plans developed and implemented <i>Bagh</i> residents using project	Information on <i>bagh</i> neighborhood group action plans and principles on how to develop and implement these <i>Bagh</i> neighborhood group CBDRM action plans	Project <i>soum</i> coordinators (one per each of the 12 <i>soums</i>) Visits by PIU team to <i>soum</i> -center residents and remote <i>bagh</i> herder households Designated information points in each project <i>soum</i> (likely the <i>soum</i> governor's offices) Posters, forms in Mongolian	2017–2019	Executing Agency, PIU	PIU staff time Printed materials (posters, forms, calendars) Project media budget line	Remote and poor households engage in <i>bagh</i> neighborhood groups and benefit from infrastructure, equipment and technology provided to the groups by the project

Objective	Risk	Audience	Desired Behavior	Information Needs	Channel / Activity	Timing	Respons-ibility	Resource Needs	Expected Outcome
			infrastructure, equipment and technology	reflected on calendars provided to communities	on meeting locations and times Local media				
Output 3. CBDRM capacity of NEMA, LEMAs, and <i>soum</i> administrations strengthened.									
National, <i>aimag</i> , and <i>soum</i> administrations have increased capacity in CBDRM and in early responses to steppe and forest fires, and dzud conditions	National, <i>aimag</i> , and <i>soum</i> administrations do not fully adopt and facilitate CBDRM	NEMA, four LEMAs, and 12 <i>soum</i> governors' offices	All levels of administration are proactively supporting improved CBDRM and community resilience to disasters	Information on <i>bagh</i> neighborhood group CBDRM action plans and guidance on how to implement these	CBDRM and GIS training conducted under the project	2017–2019	Executing Agency, PIU	PIU staff time Printed materials (posters, forms)	National, <i>aimag</i> and <i>soum</i> DRM administration have more capacity in CBDRM and early responses to better manage risk of steppe and forest fires, and dzud conditions
OBJECTIVE 2: PROJECT VISIBILITY AND MEDIA, INCLUDING DONOR FUNDING									
Public and political awareness of and support for the project	Uninformed public, politicians, media, donors, CSOs create discontent, opposition, or incorrect information about project	General public, local and national media, CSOs, government, politicians	Informed and supportive audience	Dissemination of project objectives and activities, focusing on results and impacts	Local, national news releases; interviews with <i>aimag</i> and <i>soum</i> government, LEMAs, NEMA Briefings/consultations with key politicians, committees, CSOs Grant signing ceremony with media and GOJ attendance	2016–2019	Executing Agency, PIU, ADB project team, MNRM	PIU staff time. Contact points – PIU manager, field coordinators Project media budget JFPR and Japan ODA logos on all materials	Public support and awareness raised for the project
OBJECTIVE 3: COORDINATION WITH OTHER DONOR PROGRAMS AND CSOs									
Coordination and alignment	Overlap of resources	Development partners	Open and regular	Project information	Meetings; emails; other direct forms of contact	2017–2019	Executing Agency,	DPAM, PMU and ADB staff	Donor programs coordinated and

Objective	Risk	Audience	Desired Behavior	Information Needs	Channel / Activity	Timing	Respons-ibility	Resource Needs	Expected Outcome
of project activities with other development partners working on DRM-related programs in project sites	and/or missed opportunities for collaboration	working in project areas; CSOs including FUGs, PUGs and herder groups	information exchange, coordination, support	Donor Coordination linked document	Some development partners may be invited as observers on PSC		PIU, ADB project team, MNRM	time Social website page	aligned and working towards harmonious disaster resilience agenda

CSO = civil society organization, FUG = forest user groups, GOJ = Government of Japan, JFPR = Japan Fund for Poverty Reduction, Japan ODA = Japan Official Development Assistance (ODA), LEMA = Local Emergency Management Agency, NEMA = National Emergency Management Agency, MNRM = ADB Resident Mission in Mongolia, PIU = project implementation unit, PSC = Project Steering Committee, PUG = pasture user group.

Source: Asian Development Bank.

NOTES FOR IMPLEMENTING THE PROJECT

INTRODUCTION

1. These notes identify key points and issues about implementing the project. They are aimed at the executing agency, implementing agency, and project implementation unit (PIU), so that they can understand the intent of certain activities in the project design. The notes are organized by key activity by project output. These notes should be read in conjunction with the project design and monitoring framework (DMF), implementation schedule, budget, procurement plan, and consultant terms of reference (TOR).

Output 1. *Bagh* neighborhood group CBDRM action plans prepared

A. Principles for *Bagh* Neighborhood Groups

2. The PIU should apply the following principles for *bagh* neighborhood groups. These principles apply to training project *soum* coordinators, setting up *bagh* neighborhood groups, and developing *bagh* neighborhood action plans.

Principles for Training Project *Soum* Coordinators

- (i) The PIU should provide induction training that includes the project itself (objectives, expected results, activities, and budget); the role of project *soum* coordinator, and key activities to be carried out by the project *soum* coordinators.
- (ii) The PIU should provide training in facilitating skills, participatory, and adult learning methods; working with *bagh* neighborhood groups, and conducting consultations with the local community.
- (iii) The PIU should provide training in community-based DRM principles and practices, including community based disaster-risk assessments, and developing *bagh* neighborhood group DRM action plans.

Principles for Setting-up *Bagh* Neighborhood Groups

- (i) Project *soum* coordinators hold consultations in each *bagh* on the project, the concept of *bagh* neighborhood groups, and what they will do.
- (ii) “Organic” groupings with no strict limits on size, location of household members, occupation.
- (iii) The *bagh* neighborhood groups can be in all *baghs*, including the *soum* center *bagh*.
- (iv) The *bagh* neighborhood group need to register with the *soum* coordinators:
 - a) This should include a rationale for the *bagh* neighborhood group, how membership of this group integrates with other existing groups, if relevant, for example, herder groups or Forest User Groups (FUGs).
 - b) The *bagh* neighborhood group should state how many households (HH), are involved, and the locations of the HH members.
 - c) The *bagh* neighborhood groups should specify how many HHs in the group are classified in levels 1 – 6 of the Mongolia household classification system (poor HHs).
 - d) The *bagh* neighborhood groups should indicate how many HHs in the group are headed by women.
- (v) Acceptance of *bagh* neighborhood groups into the project will consider the following:
 - a) The number of households in levels 1 – 6 of the Mongolia household classification system

- b) The number of HHs headed by women.
 - c) The fit of the rationale for the group to the project goals.
- (vi) Project *soum* coordinators will present recommendations for setting up *bagh* neighborhood groups in each *bagh* to the *bagh* governor.

Principles for Developing *Bagh* Neighborhood Group DRM Action Plans

- (i) Plans should be based on participation by *bagh* neighborhood group members. Group members develop their own action plan.
- (ii) Plans should be based on opinions of *bagh* neighborhood group members, local coping strategies, while also being scientifically and technically realistic.
- (iii) Actions in each action plan should be prioritized according to what actions the project can support, and what actions other donors can support.
- (iv) Project *soum* coordinators recommend to the Project Implementation Unit (PIU) what planned activities the DRM project can support. The PIU decision is communicated to project *soum* coordinators, who inform the *bagh* neighborhood groups and then present the final *bagh* neighborhood group DRM action plan to the *bagh* governor.
- (v) Each *bagh* governor will then submit a consolidated *bagh* level plan based on the group plans to the *soum* administrations for approval.
- (vi) *Bagh* neighborhood group DRM action plans are to be displayed graphically, for example in a calendar, where it is clear the actions and when they are to be done
- (vii) Initial neighborhood group DRM action plans are for two-years - the duration of the project. In the final quarter of the project, action plans are to be reviewed and updated for the next two years. Good examples of *bagh* neighborhood group action plans are to be presented in the symposium.

B. Key Training and Steps for Participatory DRM Planning for *Bagh* Neighborhood Groups

3. The PIU's international CBDRM specialist, the national CBDRM specialist, and *soum* coordinators provide orientation to *bagh* communities and *soum* administrations on community-based DRM, and the project.

After the *soum* coordinators recruit and register the *bagh* neighborhood groups, the *soum* coordinators train the *bagh* neighborhood groups on DRM and developing community based DRM action plans.

4. In summary, the method for participatory DRM planning - to be carried out by the *bagh* NGs - includes six steps, which the *soum* coordinator will oversee with each of the registered *bagh* NGs:

- Step 1. Introduce community based disaster risk management (CBDRM)
- Step 2. Prepare the *bagh* NGs to carry out CBDRM
- Step 3. Carry out the *bagh* disaster risk assessment (DRA)
- Step 4. Develop the *bagh* DRM Action Plan
- Step 5. Implement the *bagh* DRM Action Plan
- Step 6. Participatory monitoring and evaluation.

5. After Step 4, and the *bagh* neighborhood groups have drafted, revised and finalised their DRM action plans, these are submitted to the *bagh* governor and *soum* administrations for

approval. The *soum* coordinators should provide support to the *bagh* neighborhood groups for Step 5 on how to implement their DRM action plan, and for Step 5 for monitoring the implementation of the DRM action plan.

C. Example of an input table for a *bagh* neighborhood group DRM action plan

6. Following is an example of an input table for a DRM action plan that a *bagh* neighborhood group in Dornod *aimag* could prepare. After the input table has been completed and approved by the *bagh* governor and *soum* administration (see principles above in section a.3) the project will produce a graphical version of the plan, such as a wall calendar.

7. Note that DRM action plans prepared by *bagh* neighborhood groups in Sukhbaatar, Khuvsgul, and Gobi-Altai, and even plans prepared by other *bagh* neighborhood groups in Dornod, could include different risk and actions than in this simple example.

8. The actual format for both *bagh* neighborhood group input tables and the graphical version of the approved plan should be developed by the PIU during the first year of implementation.

No.	Action	Timing	Date Completed
1. Preparation for dzud			
a.	Animals Based on availability of local resources: <ul style="list-style-type: none"> Prepare hay and fodder to have enough mix of food to sustain animals for up to 4 months (depending on seasonal weather forecast & natural situation), including: <ul style="list-style-type: none"> AA tons of hay (straw) BB tons of handmade fodder - ramsons, nettles, potatoes, vegetable residue, and leaves CC tons of forage DD tons of salt and salt lick for the herd 	Between 1 August and 30 Sept.	
b.	Households <ul style="list-style-type: none"> Determine needs for shelters/wells and repair or build new shelters and wells Stock enough fuel (including dried cattle / horse dung, oil, gas, coal or wood) to last up to 1 months Stock sufficient number of injections and medicines for their herd Prepare snow cleaning tools and other facilities (for unblocking roads and cleaning pasture snow for animal grazing) 	By 30 Sept.	
2. Prevention of steppe fires			
a.	Make fire breaks or cut the grass short in surrounding areas of shelters, hay storage, houses and gers of herders and other local people (if agreed by neighbor groups as the best option to protect their properties) The width of fire breaks must be not less than 6 meters	By 30 Sept.	
b.	Clean the firebreak regularly of cattle and horse dung	At the beginning of the dry season	
c.	Each herder should have firefighting tools and equipment such as: a fire blower, a broom made from steal wire, and fire beaters made from rubber or other material	By 1 May	
d.	To prevent fire, each household should keep hot ash in a specifically	By 15 Sept.	

No.	Action	Timing	Date Completed
	made box with a lid, or in a hole in the ground (with a lid)		
e.	To protect the hay store from hot ash (embers), the lower part must be covered with iron sheet at least 50 centimeters wide	By 30 Sept each year	
3. General disaster risk management, health and safety			
a.	Herders should try to have comprehensive household and animal insurance to protect them against potential loss, including <i>gers</i> , houses, shelters and animals and other property, from risks from <i>dzud</i> and fire	By 31 Dec each year	
b.	Clean surrounding areas of own winter and spring shelters from animal dung	By 31 May and 30 Sept each year	
4. Communications plan			
a.	Call list for each household to make for a fire emergency		
b.	Call list for each household to make for approaching adverse weather event		
c.	Telephone numbers of: <ul style="list-style-type: none"> • <i>Soum</i> official • <i>Bagh</i> official • Fire unit • Health center • Police • Bank branch • <i>Soum</i> center 		
d.	Meeting dates of this neighborhood group		
5. Inspection of actions			
a.	By <i>bagh</i> governor		
b.	By <i>soum</i> administration		
6. Updating action plan			
	Updating of action plan for the two-year period after the project ends	1 Nov – 31 Dec 2019	

Signature and seal of *bagh* governor

Date: _____

Signature of *bagh* neighborhood action group leader

Date: _____

Output 2. Small-scale infrastructure, equipment, and technology for disaster resilience piloted

A. Procurement of infrastructure, technology, and equipment for *bagh* neighborhood groups

i. Procurement of equipment for *bagh* neighborhood groups

9. For *soums* in Dornod, Sukhbaatar, and Khuvsgul *aimags* that have a high risk of steppe fires or forest fires, the PIU should purchase and distribute small equipment to fight fires to *bagh*

neighborhood groups. This includes blower machines to keep steppe fires from spreading across defined lines, hand tools to tamp out fires, and backpack water sprayers and small water tanks on trailer that can be hauled by mid-size SUVs.

10. Note that the PIU should only supply equipment to *bagh* neighborhood groups that have specifically requested the equipment in their approved action plan, and have a rationale and actions for why they require the equipment.

ii. Procurement of personal protective gear (PPG) for *bagh* neighborhood groups

11. The PIU should purchase and distribute personal protective equipment to the groups in *soums* in Dornod, Sukhbaatar, and Khuvsgul *aimags* for use in fighting fires. This includes fire resistant jackets, pants, and boots. PPG for fighting steppe fires will be slightly different to that for fighting forest fires.

12. Note that the PIU should only supply equipment to *bagh* neighborhood groups that have specifically requested the PPG in their action plan, and have a rationale and actions for why they require the equipment.

iii. Provide animal shelters and forage storage facilities

13. For *soums* in Dornod, Sukhbaatar, and Gobi-Altai, the PIU should purchase and distribute materials that the *bagh* neighborhood groups will use to build animal shelters and forage storage facilities. The PIU should only supply materials to groups that have an action plan that specifically requests an animal shelter or forage storage facility.

14. The shelters and facilities should be designed by an engineer contracted by the PIU. The groups will construct their shelter or facility according to the engineering plans and specified materials. The engineering designs should, where possible, introduce new materials and construction approaches to supplement traditional materials and construction.

iv. Contract well-drilling in Gobi-Altai

15. Similar to the shelters and storage facilities, the PIU should contract a firm that specializes in well drilling. This firm will drill wells for *bagh* neighborhood groups in *soums* in Gobi-Altai *aimag* that request wells in their action plan.

B. Contracting firebreaks and water tanks in two Khuvsgul forest *soums*

16. The PIU should help *soums* in Khuvsgul *aimag* to cut firebreaks (i) around their *ger* and animal facilities, and (ii) around the perimeter of the *soum* center. The object of these firebreaks is to protect people, animals, and property from forest fires. If cutting firebreaks will involve cutting trees, only licensed “professional” entities can be contracted to cut trees according to the forest law. Cutting trees for fire breaks is considered as part of forest cleaning activities and thus allowed under the forest law. The licensed “professional” entities should have approval from only *soum* authorities if the area for fire breaks are outside the buffer zones of the special protected area. If the fire break areas are within the buffer zones, PIU should check in detail with the MET relevant regulations.

17. The PIU may also provide a resource person who has expertise in designing forest firebreaks to assist the groups to locate and specify the conditions of the firebreak.

18. The PIU should purchase and distribute large water tanks that will be placed along the large firebreak that will protect the *soum* center. PIU and *soum* will also seek possibilities to establish ponds for collecting / keeping spring and snow water near by the large firebreak. These ponds, if established, could replace some water tanks.

C. Contracting firebreaks in Dornod and Sukhbaatar

19. The PIU should contract *bagh* neighborhood groups in *soums* in Dornod and Sukhbaatar *aimags* to cut firebreaks (i) around their *ger* and animal facilities, and (ii) in strategic locations that will prevent the spread of steppe fires to other *soums* or *aimags*. The object of these firebreaks is to protect people, animals, and property from steppe fires.

D. Contract the repair and rehabilitation of irrigation systems in Sharga *soum*, Gobi-Altai

20. The PIU should contract *bagh* neighborhood groups in Sharga *soum* to repair and rehabilitate an irrigation system used to grow grass for hay, and another irrigation system used to grow vegetables. Because the rehabilitation work can be done by local people, the PIU should develop contracts for the *bagh* neighborhood groups to undertake this work.

E. Contract scoping study for early warning system for natural disasters

21. The PIU should contract a consultant team to investigate and design an early warning system for natural disasters. These include forest fires, steppe fires, and dzud, but possibly also floods and sandstorms. This consultant team will contain international GIS expert, and international and national experts in selected natural disasters, such as forest fires.

22. If the design of the early warning system indicates that the project could achieve a couple of activities in the early warning system, and if budget is available, then the PIU might begin the implementation of the system.

Output 3. DRM capacity of NEMA, LEMAs and *soum* administrations strengthened

A. Contract improvements to NEMA GIS disaster database

23. NEMA staff should identify improvements that they would like to see in their GIS-based disaster database. These improvements could improve operational performance – for example, the database at present could improve its very slow response times to users; or improve functionality – for example, adding data layers about specific disasters.

24. The PIU, in conjunction with NEMA, should then prioritize the improvements to the database that the project can fund. The PIU should then contract a consultant team to design and then implement improvements to this database. This consultant team will contain international and national experts in GIS.

B. Contract training of super-users of NEMA GIS disaster database

25. NEMA has identified that only a relatively few people use the disaster database effectively and regularly. One reason for this might be the poor operational performance of the database, noted in the previous section. Another reason is that many NEMA staff are not well-trained in how to use the database.

26. NEMA should identify “super-users” of the database. These can be in NEMA departments or in the LEMAs. The PIU should then contract JAXA to organize and deliver a training program that aims to make the super-users of the database effective users. After their training, these super-users should have an understanding of the database and a high capability to use the database that is high enough to effectively train “ordinary” users of the database.

27. The PIU should contract JAXA directly (no competitive bidding for this contract) because this is part of the “Japanese visibility” required by the grant.

28. Project budget would allow for about 25 people from LEMA in all provinces to attend 3 sessions of the training, each for 5 days.

C. Training of LEMAs and *soum* administrations in DRM

29. The PIU should periodically organize trainings for staff in LEMAs and *soum* administrations on aspects of DRM, and in particular CBDRM; and on aspects of project activities, such as social and gender safeguards. The trainings will be delivered by PIU consultants, including the international CBDRM specialist, the national CBDRM specialist, the social and gender safeguards specialist, and the M&E specialist. The trainings may take place in NEMA in Ulaanbaatar, or in one of the LEMAs in the project.

D. Procure equipment and PPG for LEMA and *soum* administrations

30. Similar to providing equipment and PPG to the *bagh* neighborhood groups as noted in Output 2 above, the PIU should also purchase and distribute equipment to LEMAs and *soum* administrations to fight steppe fires, forest fires, and improve responses to dzud. This equipment includes, as in Output 2, blower machines to keep steppe fires from spreading across defined lines, hand tools to tamp out fires, backpack water sprayers, small water tanks on trailer that can be hauled by mid-size SUVs, PPG for LEMA and *soum* administration staff. The PIU should procure this equipment using the same procurement packages as the ones in Output 2 for equipment and PPG. This is noted in the project’s procurement plan.

31. This equipment also includes siren systems for certain *soums*, communications systems for LEMA staff, and road clearing equipment for LEMAs in the project.

E. Implement stakeholder communications

32. The project has a stakeholder communications plan. This should be implemented by the PIU. Key elements include establishing a project website and a presence on certain social media sites – for example, Facebook – and the development of printed materials and media communications to promote project consultations and trainings.

F. Implement Japanese visibility

33. The project has a plan to ensure “Japanese visibility” is developed and maintained. The PIU should (i) communicate broadly to stakeholders the use of Japanese resources and suppliers in the project, and (ii) involve Japanese officials when communicating the progress and achievements of the project.

G. Develop knowledge products

34. During the last two quarters of the project, Q3 2019 and Q4 2019, the PIU should develop “knowledge products” about the project. These products could be (i) key learnings from the project, (ii) guidelines on how to replicate and implement certain project activities elsewhere, and (iii) a strategy for extending CBDRM approaches to other types of natural disasters.

H. Organize end-of-project symposium

35. During the second half of 2019, the last year of the project, the PIU should organize a symposium for key project participants (NEMA staff, LEMA staff, *soum* administrations, *bagh* governors) and stakeholders (selected staff from government ministries and international organizations such as MET, MOFA and ADB, Japan Embassy in UB and JICA etc). The symposium will focus on information exchange among the participants, identify what things the project did well and what things could have been done better, and steps to be taken to extend the CBDRM approach further in Mongolia.

PROJECT MANAGEMENT

A. Recruitment and appointment of PIU consultants

36. A critical key task during project start-up is the recruitment of PIU consultants. Initial appointments should be the PIU project coordinator, the PIU finance specialist, and the PIU procurement specialist. NEMA should recruit and appoint these positions, following ADB and MOF procedures, no later than the end of the second month of the project. The project director and manager can then focus on recruiting and appointing the rest of the PIU consultants.

37. It is assumed that contract for *soum* coordinators in Darvi and Altai *soums* will end in September 2018 due to fewer activities in these *soums*. The *soum* coordinator in Sharga *soum* will cover all project activities starting from October 2018.

B. Monitoring and evaluation and the DMF

38. In the first year of the project, the PIU’s M&E specialist should review the project DMF, design the M&E system, collect the necessary data (from secondary sources and primary data from project sources) to establish the baseline for the project, and set-up the format for the quarterly project reports. Note that the M&E system specifically monitors project performance against the DMF.

39. The M&E specialist should train the PIU project coordinator and key PIU consultants in how to use the M&E system, including entering performance data into the system and then producing quarterly reports on the performance of the system.

40. The M&E specialist should return to the project in subsequent years to assist the PIU to produce mid-term and project completion reports.

C. Social safeguards and gender action plan

41. In the first year of the project, the PIU's social and gender specialist should review the GAP, its targets and indicators; collect the necessary data (from secondary sources and primary data from project sources) to establish the social and gender baseline for the project, and set-up the format for reporting on the GAP in the quarterly project reports. The social and gender specialist should also identify any social issues around the project that the PIU needs to consider when implementing the project. The social and gender specialist should train the PIU project coordinator and key PIU consultants in what activities need to be done to achieve the social and gender targets for the project, how to track progress against the GAP targets, and reporting on the GAP for the quarterly reports on the performance of the system.

42. The social and gender specialist should return to the project in subsequent years to assist the PIU to monitor project performance on the GAP and to assist and train the PIU to complete gender activities.

ANNEXES

Annex I. Method for Participatory DRM Planning

There are a series of steps the *Soum* Project Adviser will oversee with each of the registered *bagh* NGs:

Step 1	Introducing community based disaster risk management (CBDRM)
Step 2	Preparing the <i>bagh</i> NGs to carry out CBDRM
Step 3	Carrying out the <i>bagh</i> [community-based] disaster risk assessment (DRA)
Step 4	Developing the <i>bagh</i> DRM Action Plan
Step 5	Implementing the <i>bagh</i> DRM Action Plan
Step 6	Participatory monitoring and evaluation.

Step 1. Introducing CBDRM and Step 2 Preparing the *bagh* NGs to carry out CBDRM

1. The *Soum* Field Officer, with support from the International CBDRM Specialist will facilitate Step 1 and Step 2 with the *bagh* NGs. Once a *bagh* NG completes training in community based DRM, *bagh* DRA, and in developing *bagh* DRM Action Plans, the *Soum* Field Officer will agree with the Team Leader¹ of each *bagh* NG their schedule for carrying out participatory *bagh* DRAs.

Step 3. Carrying out the *bagh* DRA

2. For Step 3, the *bagh* DRA, the *bagh* NG Team Leader is responsible, with volunteers from his or her NG, for timing and preparing the multi-hazard DRA. Timing for the DRA will vary among different *bagh* NGs but should be carried out at least three weeks before the normal time set for developing the yearly *soum* Emergency Management Plan. This will help make certain there is enough time to develop the *bagh* DRM Action Plan and sends these to the *bagh* governor (for review and approval). The *bagh* governor (with support, as needed, from the *Soum* Project Adviser) presents the *bagh* DRM Action Plan to the *soum* administration for inclusion in the *soum* Emergency Management Plan.

3. The process for carrying out the *bagh* DRA includes various components (provided in guidelines during the *bagh* NG training events). The participatory *bagh* DRA tools - widely used elsewhere in rural areas - need adapting to the local context. See Annex XX for DRA tools.

1. Objectives

The *bagh* DRA will help identify:

- (i) Historical and potential natural hazards.
- (ii) Vulnerabilities and capacities of the *bagh* NG and *bagh* residents.
- (iii) Suitable solutions, in which vulnerable people are considered.

The *bagh* DRA will:

¹ nominated by *bagh* NG members

- (iv) Provide information necessary to draft a *bagh* DRM Action Plan and for integrating this into the *soum* Emergency Response Plan², and socio-economic development plans.
- (v) Increase awareness and capacity of the *bagh* NG, the *bagh* and *soum* administrations, and other *bagh* residents on CBDRM, DRA and climate change.

See Annex XX for a template for a *bagh* DRA.

2. Activities

a. Preparing for the *bagh* DRA

To prepare for the *bagh* DRA the *bagh* NG need to be identify:

Scope of the assessment

- (i) *Location*: all areas of the *bagh*, or focus more on areas most prone to natural hazards.
- (ii) *Neighbouring areas*: outside the *bagh* that may affect natural hazards within the *bagh*, for example, forest lands, or rivers.
- (iii) *Audience*: divide people living in the *bagh* into different groups based on different occupations or locations, for example: herder groups, ethnicity, those with similar livelihoods.

Time and location

The main issues to be agree here are the number of days needed, a suitable schedule and time for the *bagh* NG to carry out the assessment involving other local people.

Suitable methods and tools

The methods and tools which can be used may vary from one *bagh* NG to another. There should be flexibility in the approach. Suitable questions are needed to guide each tool to make sure they are suitable to the context.

There is a logical order in which the tools are used, with information collection tools, such as the review of secondary data, historical profile, and mapping preceding information analysis tools. The details of each assessment tool are provided in Annex XX.

The *bagh* NG will need to prepare some materials for the DRA in advance, including drawing tables and templates, and collecting the material needed (such as A0 and A4 paper, pens, chalk, camera, laptops and USB).

Resources to carry out a *bagh* DRA

The resources to carry out a *bagh* DRA:

- (i) *Human resources*: How many people in the *bagh* NG should take part in the DRA? How should the members of the *bagh* NG be divided to best use their knowledge, skills and experience?
- (ii) *Financial resources*: What finance is available? How much is needed? The *bagh* NG should not provide money to other *bagh* people for taking part in the DRA. Instead a small ordinary gift (snacks, tea) could be given to people for taking part in the DRA.

² Although currently the *soum* Emergency Response Plan, this will be expanded to include other phases of DRM.

- (iii) *Data needs:* from the *bagh*, *soum* and *aimag* administrations, the LEMA and NEMA, the *bagh* NG should get basic data on natural hazards, climate change, proposed rural development, infrastructure and spatial information – including topographic maps and GIS data. The *soum* Project Adviser should help with collecting information which would otherwise be challenging for the *bagh* NG to get.

b. Requirements for a *bagh* DRA

Participants

Participants include: members of the *bagh* NG; other *bagh* residents - including men and women of different ages, ethnic groups, economic status, livelihoods, religions, and from different locations across the *bagh*; people from different vulnerable groups, such as older people, people with disabilities.

*When to conduct a *bagh* DRA?*

- (i) Yearly, before the historic *dzud*, forest or steppe fire season (depending on the relative important and impact of these hazards).
- (ii) Before developing the *soum* Emergency Management Plan, or yearly *soum* socio-economic plan.

*Principles of a *bagh* DRA*

- (i) Collect, collate and analyse information about the safety, health, sanitation, environment, and livelihoods of the *bagh* community.
- (ii) Make sure *bagh* and *soum* government staff, and a broad cross-section of the *bagh* community are involved.
- (iii) Every idea and opinion is recognised.
- (iv) Consider climate change information provided by LEMA, NEMA, and the Institute of Meteorology and Hydrology, Ulaanbaatar and potential local impacts.
- (v) Ensure gender equality, different ethnic groups, and participation of vulnerable groups, including for example, older people (over 60years old), and people with disabilities.
- (vi) All information needs verifying and cross-checking among *bagh* NG members, with other *bagh* residents, and with the *soum* administration (the *Soum Field Officer* can help with this).
- (vii) As needed, the *Soum Field Officer* will help the *bagh* NG Team Leader to engage with other *bagh* residents to provide information and ideas, discuss, assess, analyse and identify *bagh* priorities and solutions, and raise the awareness of *bagh* residents on CBDRM.

c. Contents of a *bagh* DRA

A *bagh* DRA includes assessments of:

- (i) Natural hazards, and ranking levels of risks
- (ii) Vulnerabilities
- (iii) Capacities of the *bagh* NG and others for managing multi-hazard risks, and
- (iv) Awareness of the *bagh* residents of natural hazard risk.

Vulnerability and capacity must be assessed considering: material, organisational and societal issues; and local people's awareness, experience, attitude and motivation.

Assessment of natural hazards and ranking levels of risks

Natural hazards affecting the *bagh* are assessed and ranked according to the levels of risk. This involves information collection, synthesis and analysis of the natural hazards, considering their impacts on the local community over the last five to ten years using a historical timeline. This information should be available from the *soum* administration and LEMA. The *soum* Project Adviser will need to support the *bagh* NG to collect and assess this information (some may be too technical for the *bagh* NG members to understand).

The information which must be collected, combined and analysed includes:

- (i) Identifying the natural hazards and their impact on the *bagh*.
- (ii) Analysing the characteristics of each natural hazard, according to: when they occur, their warning signs, frequency, degree of impact, abnormal events, causes, increasing or decreasing trends, and levels of risk, considering climate change.
- (iii) Consulting with LEMA, NEMA, and the Institute of Meteorology and Hydrology, Ulaanbaatar (via the *soum* Field Officer) to get climate change trends and impacts on natural hazards.

Vulnerability assessment

Vulnerability assessment includes information collection, synthesis and analysis of each natural hazard on *bagh* residents, infrastructure, social, cultural and economic activities vulnerable to damage.

The information which must be collected, combined and analysed includes:

- (i) Basic (direct, indirect, objective and subjective) root causes of vulnerability.
- (ii) Disaggregating data collected by sex, age and vulnerable groups.
- (iii) Essential systems of the *bagh*, for example, water supply, food supply and other services, drainage, transport, and communications.
- (iv) Areas at risk, for example, low-lying areas, or areas near forests or steppe land with a history of fires.
- (v) Development in the *soum* or *bagh*, for example, new construction, building new roads may adversely affect natural drainage.

Capacity assessment

Capacity assessment for DRM collects, combines and analyses information of existing human, financial, and material resources, and of the structural and non-structural measures in the *bagh* and *soum*. This involves:

- (i) Assessing existing skills and previous experience of individuals, households and families in the *bagh* that can be used before, during and after natural hazards.
- (ii) Identifying where the resources are located, who is responsible for managing them, how to use and mobilise them.

Assessing disaster risk awareness of bagh NG, and other local people

Assessing the awareness of *bagh* residents of disaster risk involves information collection, synthesis and analysis of the existing knowledge of local people of DRM and previous experience responding to natural hazards.

Step 4 Developing the *bagh* DRM Action Plan

1. Objectives

- Draft the *bagh* DRM Action Plan. See Annex XX for a template for a *bagh* DRM Action Plan.

- Integrate key DRM and climate change issues arising from the *bagh* DRA into the *soum* Emergency Management Plan [and yearly *soum* socio-economic development plan].

2. Activities

a. Preparation

- Under the authority of the *bagh* governor [and *soum* administration], the *bagh* NG draft the *bagh* DRM Action Plan based on the *bagh* DRA.

b. Organise a *bagh* consultation meeting

- The *bagh* NG Team Leader (with the support of the *Soum* Field Officer) organises a meeting with a wide range of *bagh* residents to report the findings, lessons learned and recommendations from the *bagh* DRA, present the draft *bagh* DRM Action Plan, and collect feedback.
- Based on the feedback, the *bagh* NG Team Leader (supported by other *bagh* NG members and the *Soum* Field Officer) complete the *bagh* DRM Action Plan.

c. Finish and approve the *bagh* DRM Action Plan

- The *bagh* NG Team Leader (supported by other *bagh* NG members and the *Soum* Field Officer) is responsible for finishing and carrying out the *bagh* DRM Action Plan.
- The *bagh* NG Team Leader presents the *bagh* DRM Action Plan to the *bagh* governor for approval.

3. Outcomes

- The *bagh* DRM Action Plan approved by the *bagh* governor.
- Key DRM and climate change issues from *bagh* DRM Action Plan are integrated into the *soum* Emergency Management Plan, [and yearly *soum* socio-economic development plan]. For example, key content may include measures to:
 - Minimize the impact of natural hazards on socio-economic development.
 - Reduce disaster risks and mitigate adverse impacts on the environment.
 - Build infrastructure.
 - Provide resources for carrying out CBDRM.

Step 5 Implementing the *bagh* DRM Action Plan

1. Objectives

Carry out the *bagh* DRM Action Plan, developed from the *bagh* DRA, involving the *bagh* NG and other *bagh* and *soum* residents.

2. Activities

- (i) The *bagh* NG Team Leader holds a meeting to tell people about the approved *bagh* DRM Action Plan and give feedback on recommendations included in the plan.
- (ii) Financial and human resources are mobilised from the *bagh* and *soum* administration, and from the local people to realize the *bagh* DRM Action Plan.

3. Outcome

To carry out the *bagh* DRM Action Plan efficiently, three kinds of actions need addressing, those that:

- (i) Can be fulfilled by the *bagh* NG with the support of other *bagh* residents
- (ii) Need some external help to start, and
- (iii) Can only be carried out by specialised agencies from outside the *bagh*.

To implement the *bagh* DRM Action Plan, the *bagh* NG, supported by the *Soum* Field Officer will organise actions, and coordinate any external provision. Above all, measures should be coordinated with *soum* and *aimag* administration, LEMA and NEMA (depending on the scale).

Key issues are to:

- (i) Involve the private sector.
- (ii) Mobilise participation of scientific agencies, organisations, individuals, and teachers.
- (iii) Encourage donors, I/LNGOs and civil society organisations to support and cooperate with the *bagh* NG and local people to carry out the *bagh* DRM Action Plan.
- (iv) Promote research and apply science and technology in carrying out activities.
- (v) Review and adjust the *bagh* DRM Action Plan each year to make sure it reflects the situation.

Step 6 Participatory monitoring and evaluation

1. Objectives

- (i) Create a communication system to convey information to the local people and others about activities under the *bagh* DRM Action Plan.
- (ii) Monitor and review progress and implementation of the activities in the *bagh* DRM Action Plan and whether these achieve the planned objectives.
- (iii) Identify any problems or issues arising during implementation and address as necessary.
- (iv) Collect information for reporting and document lessons learned to feedback into the *bagh* DRM Action Plan for the coming year.
- (v) Evaluate relevance, effectiveness, efficiency, impact and sustainability.
- (vi) Develop a feedback system encouraging regular learning and sharing among local people, the *bagh* NG, the *Soum* Project Adviser and other stakeholders to improve future implementation.
- (vii) Draw lessons learned and good practice.

2. Principles

- (i) Ensure involvement of *bagh* NG, other local people, the *bagh* governor, *soum* and other government authorities and relevant agencies.
- (ii) Encourage open sharing among relevant parties. Provide a mechanism for feedback on actions taken, methods and guidelines.
- (iii) Underline a participatory M&E, based on a practical, experiential and learning. Local people and organisations involved should improve their skills, strengthen their capacity in planning, problem-solving and decision-making. Further, they should gain a better understanding of reasons that might affect actions, and reasons for success or failure.
- (iv) Make sure the participatory M&E is flexible and adaptive and fits local circumstances and needs.

3. Activities

- (i) The method, indicators, expected results, and potential impacts discussed and agreed by the *bagh* NG and *Soum* Field Officer.
- (ii) The *bagh* NG and *Soum* Field Officer develop a M&E plan and present to the *bagh* governor for approval.

- (iii) The *bagh* NG publicises the M&E plan to other *bagh* residents and coordinates the M&E during the carrying out of the *bagh* DRM Action Plan.
- (iv) The *bagh* NG carry out M&E based on the objectives and content of the approved *bagh* DRM Action Plan
- (v) The *bagh* NG collects M&E information and prepares a M&E report.
- (vi) The *bagh* NG holds regular meetings with local people to gather information for M&E and provides an update on the results of the *bagh* DRA and carrying out the *bagh* DRM Action Plan.
- (vii) The M&E results are shared with the *soum* administration, LEMA and NEMA.

4. Outcome

- (i) A M&E plan, developed and carried out with local people.
- (ii) CBDRM carried out effectively and satisfactorily.
- (iii) Ensure accountability is applied and helps improve management and decision-making.
- (iv) M&E helps define outstanding issues and activities not completed as planned.

Annex II. Summary of tools available for a *bagh* Neighbourhood Group disaster risk assessment

No	Tools	Description
Information collection tools		
1	Review of secondary data	Data collected and collated from existing reports on natural hazards and disasters that have happened previously in the <i>bagh</i> (and <i>soum</i>) and any other relevant information.
2	Historical Timeline	Information gathered from the <i>bagh</i> NG members, local households, <i>bagh</i> administrative staff, older people and other key informants about previous natural hazards and disasters in the last 5-10 years including their damaging effects, frequency, and local experiences in addressing these (including through community-based approaches).
3	Livelihood analysis	Analysis of <i>bagh</i> herder and other livelihood groups, including information disaggregated by age and sex for each group, the number of people involved, the condition of the work [or workplace] (including health risks), and related <i>soum</i> , <i>aimag</i> or national government legislation [strategies or policies].
4	Mapping	Information from the <i>bagh</i> NG and other <i>bagh</i> residents, to identify dangerous and safe areas, and important places in the <i>bagh</i> and <i>soum</i> , such as schools, government buildings, clinics, places of worship, and heritage sites which need to be protected.
Information analysis tools		
5	Strengths, Weaknesses, Opportunities and Threats (SWOT) Analysis	Information from the <i>bagh</i> NG and other <i>bagh</i> residents on the existing personal, household, <i>bagh</i> NG and any <i>bagh</i> and <i>soum</i> institutions' strengths, weaknesses, opportunities and threats in preparing for, responding to and recovering from natural hazards and possible disasters.
6	Synthesis	Information combined into one table to identify past and potential natural hazards, disaster risks, capacities, vulnerabilities and changes in frequency of natural hazards over time.
7	Ranking	Identify the priorities of the <i>bagh</i> NG and other <i>bagh</i> residents from the information collected.
8	Cause Analysis	Identify the root causes of the <i>bagh</i> NG and other <i>bagh</i> residents prioritised disaster risks.
9	Drafting the <i>bagh</i> NG DRM Action Plan	Combine all information collected from the tools into one table and identify proposed actions the <i>bagh</i> NG agrees to include in the <i>bagh</i> NG DRM Action Plan.

Annex III. Draft template for a Soum Disaster Risk Management Plan

Government of Mongolia

Soum Disaster Risk Management Plan

Soum: NAME
 Aimag: NAME
 Date: 2016.

Approved by: 1. NAME, the Governor, NAME *soum*
 2. NAME, Chief, LEMA, NAME *aimag*

1. Rationale for the Soum Disaster Risk Management Plan

Disaster risk management (DRM) aims to avoid, lessen or transfer the adverse effects of natural hazards through prevention, mitigation and preparedness and measures. The *Soum* DRM Plan includes:

- a) An outline of the natural hazards in the *soum*, including information on *dzud*, forest and steppe fires, and other natural hazards which resulted in disaster. This information, collected in each *bagh* by the *bagh* Neighborhood Group (NG) is consolidated in this Plan.
- b) Previous DRM actions carried out and experiences gained by the *bagh*, *soum* and *aimag* administrations suitable for addressing common natural hazards and risk in the *soum*, paying attention to vulnerable groups. The contents and measures include:
 - (i) Activities to improve local people's awareness about DRM
 - (ii) Elaborating the *bagh* DRM Action Plans for specific natural hazards
 - (iii) Evacuation routes and sites
 - (iv) Necessary training and drills on DRM
- c) Providing clarity on the roles and responsibilities of the *bagh* and *soum* administrations, the Emergency Commission of the *soum*, the Specialized Emergency Response Unit of the *soum*, the *bagh* governor, the *bagh* NG, and other local people in carrying out the *Soum* DRM Plan.
- d) Supplies, and equipment and other essentials for DRM.
- e) Proposals for resources and setting schedules for carrying out the plan in each *bagh* during the year.

To carry out DRM efficiently, minimize the damage caused by natural hazards, and contribute to the socio-economic development of the *soum*, the *Soum* Administration makes the following *Soum* Disaster Risk Management Plan.³

2. Objective

1. Publicize, train, and provide knowledge on DRM and the impact of natural hazards on the safety of lives and property of people living in the *soum*.

³ No single format for a *Soum* Disaster Risk Management (DRM) Plan can be applied to all localities. The contents will need to be specified or adjusted to maximize its effectiveness, depending on the situation and realities of each *soum*, and its natural hazards.

2. Identify responsibilities of organizations and individuals in the *soum* on DRM under the law.
3. Mitigate, and respond at once to natural hazards to minimize damage to people and property and recover effectively.
4. Ensure *bagh* Disaster Risk Management Action Plans are integrated fully into the *Soum* Disaster Risk Management Plan.
5. Strengthen capacity to deal locally with emergencies, support the *bagh* administration, *bagh* NGs, and emergency response teams to respond effectively.
6. Increase awareness on community based DRM, promoting self-reliance, and local people responsibilities to reduce the impact of natural hazards in their *bagh*.
7. Provide information to integrate into socio-economic development planning.⁴

3. *Soum* overview

No	Characteristics	Description
I	Location	Latitude and longitude Bordering to the north....., south....., east and west.... in <i>aimag</i>
II	Topography	Note key features of the <i>soum</i> for example, lowland, hilly or mountainous areas
	River(s)	List any major rivers running through the <i>soum</i>
	Forest	Describe area and location of forest land in the <i>soum</i>

4. Population, socio-economy and infrastructure in the *soum*

No	Items	Unit	Total in <i>soum</i>	<i>bagh</i>					Notes
				1	2	3	4	...	
I	Population								
1	Total households	Household							
2	Total population	Person							
	Male	Person							
	Female	Person							
3	Age	Person							
	Under 16 years	Person							
	From 16-60 years	Person							
	Over 60 years	Person							
II	Main jobs and income source								
1	Herders	Person							
	Area	ha							
	The number of livestock	Number							
	Type of livestock	Animal							
	Yak								
	Horse								
	Sheep								
	Goat								
	Camel								
2	Other forms of livelihood								
	Area	ha							

⁴ These objectives must be realistic, specific, quantifiable, achievable, and appropriate and time bound.

No	Items	Unit	Total in soum	bagh					Notes
				1	2	3	4	...	
	Number of people	Person							
3	Industry								
	Number of people	Person							
III	Infrastructure								
1	Public facilities								
	School	Number							
	Health station	Number							
	Government offices	Number							
	Other								
2	Housing								
	Permanent housing	Number							
	Ger along the river or close to lakes	Number							
	Ger in the upland or mountainous areas	Number							
3	Transport system								
	Dirt road	Km							
	Concrete road	Km							
	Permanent bridges and drains	Km							
4	Irrigation system								
	Lakes or reservoirs	Number							
	Canals	Km							
5	Electrical grid								
	Substation	One							
	Electrical lines	Km							
6	Domestic water system								
	Public supply	Unit							
	Water wells	Number							
7	Communication system								
	Radio stations	Number							
	Loudspeakers	Number							

5. Natural hazards

This Soum DRM Plan is to prepare for natural hazards and possible disasters resulting from them that may occur in the soum.

No	Natural hazards ⁵ /date	Time	Affected areas	Damage and loss	Key lessons learned	Note ⁶
1	Dzud (dates)	Month... Year...	bagh...	<ul style="list-style-type: none"> Number of deaths Number of livestock killed Type of livestock Loss of property Damage to property Loss of production means or products ... 	For example, <ul style="list-style-type: none"> Improve early warning Increase storage of fodder Improve animal shelter ... 	

⁵ Identify natural hazards which have occurred in recent years (5-10 years) and historical events resulting from these.

⁶ For example, a prediction of timing of natural hazards in the coming year; *La Nina*, *El Niño* and climate change impacts on hydro-meteorological hazards.

No	Natural hazards ⁵ /date	Time	Affected areas	Damage and loss	Key lessons learned	Note ⁶
2	Forest fire					
3	Steppe fire					
4	Earthquake ...					

6. Vulnerability assessment

From *bagh* DRM Action Plans and *bagh* DRA decide the vulnerabilities of the *bagh*.

No	Items	Unit	Total in <i>bagh</i>	<i>bagh</i>					Note
				1	2	3	4	...	
I	People								
1	Children under 16 years	Person							
2	People over 60 years	Person							
3	People with disabilities	Person							
4	Pregnant women or nursing child under 12 months	Person							
5	People living under the GoM poverty line	Person							
7	People with chronic illness	Person							
8	Number of people who may need to be evacuated before a hazard	Person							
II	Infrastructure								
1	Temporary housing	One							
2	<i>Ger</i> along rivers or close to lakes	One							
3	<i>Ger</i> in the upland or mountainous area	One							
III	Production								
1	Forest fire-prone areas	ha							
2	Steppe fire-prone areas	ha							
3	<i>Dzud</i> -prone <i>bagh</i>	ha							

7. Capacity assessment

From *bagh* DRM action Plans and *bagh* DRA decide the available resources of the *bagh* NG and of local people (strengthens, weaknesses, capacities) that can be mobilized for DRM, to address the following:

- (i) *What are the key human, financial and material resources of the soum administration?*
For example, the *soum* Emergency Commission, the *soum* Specialized Emergency Response Unit, among *bagh* NGs, in the *soum* center, the *bagh* governor and administration.
- (ii) *What is available from the aimag and national level administration, from LEMA and NEMA?*
- (iii) *What experience, skills and equipment do the bagh NGs have that can be mobilized and used by the bagh and soum administration?*
- (iv) *What is the organizational capacity to evacuate local people (for example, location, facilities, and organizations)?*
- (v) *What rescue capacity exists at the soum center and in each bagh (for example, people, vehicles, and equipment)?*
- (vi) *What critical infrastructure exists (for example, hospitals and clinics, permanent housing, and evacuation centers)?*

No	Items	Unit	Total in <i>bagh</i>	<i>bagh</i>					Note
				1	2	3	4	...	
I	People								
1	<i>Bagh</i> NG	Person							
2	Emergency Response Teams	Person							
3	Specialized Emergency Response Unit	Person							
II	Infrastructure								
1	Safe evacuation routes	Km							
2	Evacuation centers	Number							
3	Animal shelters	Number							
III	Materials, means of transport, equipment, logistics								
1	Rescue equipment								
	<i>Car</i>	Number							
	<i>Trucks</i>								
2	Communication system								
	<i>Radio stations</i>	Number							
	<i>Loudspeakers</i>	Number							
	<i>Satellite telephones</i>	Number							
3	Emergency response supplies and equipment								
	<i>Firefighting kits</i>	Number							
4	Reserve food and water								
	<i>Meat</i>	kg							
	<i>Dried milk</i>	kg							
	<i>Animal fat</i>	kg							
	<i>Drinking water</i>	l							
	<i>Other</i>								
5	Medical equipment								
	First aid kits	kit							
	Emergency medical supplies	kit							

8. Roles and responsibilities

What are the key roles and responsibilities of each of the following in carrying out the Soum DRM Plan:

- (i) *Bagh* and *soum* administrations
- (ii) Emergency Commission of the *soum*
- (iii) Specialized Emergency Response Unit of the *soum*
- (iv) *Bagh* NGs and other non-government groups, including the Mongolian Red Cross
- (v) Households in the *bagh* and *soum* center
- (vi) Other stakeholders, including the *aimag* administration, LEMA, and NEMA?
- (vii) A diagram maybe used to show interrelationships.

9. Soum disaster risk management actions

Raising public awareness

The awareness of local people on hazard risk, and their understanding of DRM should be understood (as part of the *bagh* DRA) to make a plan to increase awareness of local people. The following need to be addressed:

- (i) *What public awareness and public education is needed for local people to strengthen understanding of DRM in the bagh and soum center? What can each household do to reduce the effects of a specific natural hazard?*
- (ii) *What training and capacity building is needed for disaster response teams?*
- (iii) *How is it best to tell all the residents of the soum of the Soum DRM Plan?*

Early warning

Early warning contributes to reducing the effects of natural hazards. To prepare for a natural hazard, it is essential early warning systems (EWS) are effective and understood by the *bagh* NGs and local people, and the *bagh* NGs involve fully in transferring early warning both up the administrative levels - to the *bagh* governor, *soum* administration, LEMA and NEMA, and to the local *bagh* residents.

The Plan should identify the means of communication, the *soum* staff and *bagh* NG Team Leaders responsible for forewarning people, and those responsible for accessing the information, even if public means of communication do not work. It is essential local people will know what to do when they hear or see warning signals.

Humanitarian needs assessment

Assessing damage following a disaster is the responsibility of the *soum* and *aimag* administration, LEMA and NEMA and will be supported by the *bagh* NGs. The Mongolian Red Cross also undertakes humanitarian needs assessment. Such assessment needs to be applied quickly and accurately for the response to be timely and effective.

The Plan should stipulate:

- (i) What role the *bagh* governors assign to *bagh* NG Team Leaders in assessing damage and humanitarian needs.
- (ii) When each *bagh* NG should send their report to the *bagh* governor; who is responsible for collecting these and submitting to the *soum* administration, and to LEMA and from there to NEMA.

Damage and humanitarian assessment information includes the: affected areas, severity, affected households, specific damage in the locality, names of the affected *bagh*, most affected herder groups, households, livestock losses, which is collected, collated and analyzed by the *soum* administration before sending to the *aimag* administration, LEMA and NEMA⁷.

Evacuation

Evacuation of people and livestock from affected areas before, or during a natural hazard may be needed to reduce loss of life, and will be minimized if carried out timely. According to each natural hazard, the *soum* evacuation plan for the people, livestock and property, identifies:

- (i) Where and who to evacuate
- (ii) Safe routes to the evacuation places
- (iii) Location of temporary evacuation areas and nearest airfields for use during an emergency
- (iv) The person (s) in charge of the evacuation.

Search and rescue

⁷ For the Red Cross, humanitarian need assessment should be undertaken according to the relevant Red Cross guidelines.

Search and rescue can reduce risks and the loss of life. In any disaster response, the first task is to begin a search for missing people and reunite lost family members. The plan identifies:

- (i) Location, and number of trained search and rescue teams
- (ii) An outline for search and rescue techniques (and references to more detailed training resources)
- (iii) Equipment for the Specialized Emergency Response Unit of the *soum*
- (iv) Basic equipment for the *bagh* NGs for search and rescue

Key questions include:

- (i) *How to contact and comfort the relatives of the people who are missing, or who have died, or have lost livestock.*
- (ii) *Who is responsible for family reunification activities? What communication methods will be used to reunite family members?* For example, the Red Cross.

Water and sanitation

In an emergency, freshwater is often scarce. This shortage may cause serious health problems, as people may have to drink dirty water. The supply of fresh drinking water should be prioritized in emergencies. Key concerns in water and sanitation include provision of fresh drinking water, areas for human defecation, areas for animal shelter and garbage disposal. The Plan identifies:

- (i) People in charge of water and sanitation within the *soum* and *bagh* administration, among the *bagh* NGs, and other organizations
- (ii) Safe water sources, and guidance for people on how to store, preserve and clean water sources, for example, the use of alum, Water Purification Tablets and water filters
- (iii) Treatment methods for waste, and disposal of bodies of animals
- (iv) The readiness of the local health units in human resources, medicines and means to assess the situation, treat water sources, and provide temporary sanitation arrangements.

Shelter

In some situations, it may be necessary to provide temporary shelter to those whose houses were destroyed or are no longer safe. The *soum* and *bagh* administration, with the support of the *bagh* NGs will need help local households to repair houses, deliver materials to make temporary shelters in safe places. The following key questions should be considered in the Plan:

- (i) *Who are the people in charge of this aspect of response in the soum and bagh administrations, and in the bagh NGs?*
- (ii) *How to contact suppliers?*
- (iii) *How to get to people locate their ger and livestock to safe areas?*
- (iv) *How to provide basic water and sanitation?*
- (v) *Which organizations are responsible?*
- (vi) *How many households need to be provided with temporary shelters? Where are these shelters be located?*

Food supply

Before, during or after a major hazard it may be necessary to provide food to people and livestock in the *soum*. The following key questions should be considered in the Plan:

- (i) *Who within the soum and bagh administration, and the bagh NGs, the Red Cross, or other organizations is responsible for assessing the need for food for people and their livestock?*

- (ii) *What food is available in the bagh and soum, or from surrounding areas in the aimag, or neighboring aimag? What capacity exists to deliver? It is ideal to know the price of each supply (for example, a list common foods, quantity, prices, suppliers and contact details should be annexed to the Plan)*
- (iii) *Where are the main soum animal food storage facilities?*
- (iv) *What is the distribution plan to get food to people and fodder to animals?*
- (v) *How to organize the bagh NGs to provide food to affected local people?*
- (vi) *How to advise local people to prepare food reserves?*

First Aid and medical aid

Casualties are unavoidable in disasters. Minimizing suffering casualties depends on timely and effective first aid. The Plan needs to consider the following questions:

- (i) *Which bagh NGs and how many people will take part in search and rescue? Are they ready? Have they received suitable training? Do the local people and bagh and soum administration and other internal (and external search and rescue teams) government recognize their role?*
- (ii) *Are the local medical care facilities ready? For example, staff on duty in the office at the affected areas, essential medicines and equipment available and operational? Are there suitable means of transport available?*
- (iii) *What potential diseases or epidemics may occur? Are the bagh and soum administration and bagh NGs prepared for such eventualities?*

Health and nutrition

Access to safe water, good sanitary conditions of houses and proper nutrition help avoid diseases. The following health and nutrition issues should be considered in planning:

- (i) *Who is responsible for coordination with the Health Department at the different levels?*
- (ii) *Who is responsible for emergency health and nutrition needs?*
- (iii) *What local health care exist? What is the aimag, soum, and bagh health capacity? Is there any need for support?*
- (iv) *Where can Department of Health conduct vaccinations for infectious diseases (for example, measles)?*
- (v) *Which INGOs and Red Cross are responsible for health care, disease prevention and public health campaigns? What role do these play in disseminating health messages?*
- (vi) *What support is likely to help widows, people over 60, children, pregnant women, single people and people with disabilities, and other family members to safeguard their health and nutrition?*
- (vii) *What are the needs for medication and medical equipment? What might be needed?*

Communication

Efficient communication before, during and after a major hazard is essential. Plans have to consider a worst-case scenario in which lines of normal communication maybe cut temporally. Information exchange is important for good coordination in disaster response. The *Soum* DRM Plan should consider the worst-case scenario and problems that are likely to occur. Solutions to these problems should be outlined, so the *aimag* administration, LEMA, NEMA, and other organizations outside the disaster areas can be updated regularly.

Logistics

It is important to keep a well-functioning response. Therefore, the following issues about warehouses, means of transport and access need to be considered:

- (i) *What are the means of transport that can be organized from the bagh NGs and other local people, or easily accessed for search and rescue, emergency relief supply and evacuation?*
- (ii) *What other transport suppliers exist in the soum, aimag or elsewhere besides preparation by the bagh NGs? For example, bagh and soum administration should negotiate in advance with owners of various means of transport to make certain different means of transport are available*
- (iii) *Which other organizations can help in the supply of relief items? Is contact information updated?*

Other activities

Other activities can be added according to the situation in the *soum*. For example, specific equipment such as bulldozers, heaving lifting machinery, and road clearing equipment may be needed; places where temporary shelter, water tanks, water pumps, generators, and storage; UN, non-government and Red Cross leaders and DRM personnel contact details.

10. Disaster preparedness

The following issues need to be addressed to carrying out disaster preparedness in the *soum*:

- (i) *How will public awareness and public education be carried out to help increase capacity of local people in disaster preparedness?*
- (ii) *How effective is the soum and bagh early warning system? What improvements are needed to increase reliability and coverage? Is training needed?*
- (iii) *How up to date are the soum risk maps?*
- (iv) *What materials, facilities, equipment and supplies need to be prepared for disaster response?*
- (v) *Are the roles and responsibilities of all stakeholders at soum and bagh level clear in disaster preparedness, response, search and rescue, and recovery?*
- (vi) *Which structural and non-structural measures are needed in each bagh to safeguard the well-being of livestock?*
- (vii) *What critical infrastructure⁸ in the soum, needs protecting, through retrofitting in preparation for dzuds, fires and other hazards to safeguard functioning (and if needed, as evacuation centers)?*
- (viii) *Have evacuation routes, plans, locations and sites been prepared?*

11. Disaster response

The following main points need to be outlined:

- (i) *Is there enough security, fully functioning transport, communication equipment, and generators? Is there back-up?*
- (ii) *Have disaster response skills of the soum Emergency Commission, soum Specialized Emergency Response Unit, and of bagh NGs been updated through training, refresher courses, and rehearsals?*
- (iii) *Are materials, facilities, equipment and resources for response to different natural hazards ready?*

⁸ For example, schools, clinic centers, *soum* and *bagh* administration offices, cultural centers, and other public places.

Response plan for specific natural hazards

Details of response actions for the following natural hazards should be provided:

Dzud, forest fires, steppe fires, earthquakes, drought and salinity, storms, heavy rain, flooding, flash flooding, and landslides, and other hazards.

12. Recovery

Based on experience and good practice from elsewhere carry out damage and needs assessments and begin early recovery.

Damage and needs assessment

Key questions that need to be addressed include:

- (i) *Who will help the soum to carry out a damage and needs assessment, and propose remedial plan? For example, the soum Specialized Emergency Response Unit, the Red Cross and bagh NGs*
- (ii) *What short-, medium- and long-term support for food, and non-food items are needed to help stabilize people's lives?*
- (iii) *What livestock, feed, materials, equipment, and fuel is needed to recover livelihoods?*
- (iv) *Who will organize water, sanitation and hygiene?*
- (v) *Who will help the soum administration and soum Emergency Commission to plan and propose repairing, restoration and upgrading of: transport, communication, electricity, schools, health care centers, and other public infrastructure?*

Early recovery

- (i) *What emergency employment, including cash for work and start-up grants to recapitalize local businesses is needed?*
- (ii) *How can community infrastructure be rehabilitated to improve access to basic services as well as revitalize the local economy?*
- (iii) *Who will be responsible for debris management, to ease access and rebuild infrastructure?*
- (iv) *What support is the soum and bagh administration likely to need? How can soum and bagh capacity be strengthened for relief and recovery planning, coordination and implementation, improving the capacity for local risk management?*

5. Carrying out the Soum DRM Plan

Assigning responsibilities and organizing implementation

Conditions to make certain the Soum DRM Plan is carried out include involvement of the *bagh* NGs and other local people in DRM planning plays an important role in guaranteeing the feasibility of the Soum DRM Plan. The Plan is reliant on good quality *bagh* DRM Action Plans (based on *bagh* DRA), raising awareness of local people, the capacity of the *bagh* governor and administration and the *soum* administration, the *bagh* NGs, and other local people.

The *soum* and *bagh* administrations, supported by the *bagh* NGs have responsibility to the local people to tell them of the Soum DRM Plan and their roles and responsibilities to fulfil this Plan.

A meeting at the *soum* center needs to be organized to inform the *aimag* and *bagh* administrations, the *bagh* NGs, other key stakeholders and local people about the approved Soum DRM Plan.

Identify resources for the Soum DRM Plan

Organizations, households and individuals in the *bagh* are resources to help complete the *Soum* DRM Plan, including:

- (i) *Aimag*, *soum* and *bagh* administration contingency Funds.
- (ii) Support from the State Budget
- (iii) Resources from political and social organizations in the *bagh*, for example the Red Cross
- (iv) Facilities, equipment and other needs from local people
- (v) Public information and mass media
- (vi) Voluntary contributions from private sector organizations and individuals.
- (vii) Support from the international community.

6. Monitor, supervise, evaluate and update the Soum DRM Plan

The Plan needs to outline monitoring, supervising, evaluating and updating, and to identify timelines for each. The *Soum* DRM Plan is not a 'one off' exercise but needs to be updated every year based on experience, and lessons learned, and changing socio-economies of the *bagh*, *soum* and *aimag* change. It is the responsibility of the *soum* administration, supported by the *bagh* governors and *bagh* NGs to update the *Soum* DRM Plan.

Carrying out the *Soum* DRM Plan needs regular monitoring and supervision. Responsibilities for this need outlining in the Plan.

At the end of the year, or after any disaster, a review of the effectiveness of the *Soum* DRM Plan should be carried out and adjustments made to the Plan for the following year.

- (i) Reference lessons learned, information that needs updating, and actions that need adjusting
- (ii) Disseminate good practice to other *soum* administrations in the *aimag*, with neighboring *aimags*, and elsewhere; share information through the *bagh* NGs with local people.
- (iii) Propose to *aimag* administration, LEMA and NEMA the need to resolve recurring problems.

ANNEXES

Contact information (names, titles, phone and fax numbers, and email addresses) of key stakeholders, for example, technical departments, *aimag* and other *soum* administrations, *bagh* NG Team Leaders, suppliers, transport companies, UN agencies, INGOs, the Red Cross, UN and donors

Logistical arrangements, for example, warehousing, suppliers and transport.

ENVIRONMENTAL MANAGEMENT PLAN

This Environmental Management Plan (EMP) is developed for MON (48236): Strengthening Community Resilience to *Dzud*, and Forest and Steppe Fires. It defines the basic requirements for implementation and supervision of minor civil works. The EMP requires the contractor to plan for construction, including consultation with potentially affected stakeholders e.g. nearby communities. It also defines good environmental and housekeeping practices, occupational and community health and safety requirements, and communication requirements. The EMP will be included in the tender documents and will form part of all civil works contracts. Contractors are expected to follow these requirements and develop site-specific EMPs (site-EMPs) for implementing these measures. The contractors will be made aware of their obligations to comply with this EMP, and to budget EMP implementation costs in their bids.

Table EMP-1: Environmental Management Plan

Potential Issues	Mitigation measures	Implementing Agency	Supervising Agency	Monitoring Indicators
PRE-CONSTRUCTION PHASE				
Institutional strengthening	<ul style="list-style-type: none"> Establish PIU 	Executing agency, ADB	Executing agency, ADB	PIU established
Design of project facilities to be constructed and/or goods and works	<ul style="list-style-type: none"> Review proposed activity against exclusion criteria (Section IV) and submit screening results and conclusions to NEMA, ADB for review As far as possible for all facilities, utilize pre-fabricated or locally-sourced materials to minimize on-site construction works and duration For structures involving timber (e.g. livestock shelters, fencing), obtain timber <u>only</u> from certified sources 	PIU – relevant team specialists	Executing agency, ADB	Designs comply with GASI environment, health and safety standards
Bidding documents and contractors qualifications	<ul style="list-style-type: none"> Ensure that civil works contracts are responsive to this EMP and that mitigation and monitoring measures are budgeted 	PIU	Executing agency, ADB	Tender and documents, civil works contracts
Site-EMP	<ul style="list-style-type: none"> Contractor develops a site-EMP, responding to all clauses and requirements of this EMP On-site manager responsible for coordinating the site-EMP Contractor shall ensure adequate resources are available to implement site-EMP throughout construction 	Contractor	PIU	Site-EMP approved by PIU
Permits and licenses	<ul style="list-style-type: none"> Contractor will secure any necessary permits and licenses before undertaking the works Contractor will comply with all domestic laws and regulations 	Contractor	PIU	Copy of approved permits and licenses
Information disclosure, hotline	<ul style="list-style-type: none"> Contractor shall display contact details at the site Contractor shall disseminate in timely manner information on construction progress, including anticipated risks or public disturbances e.g. noise 	Contractor	PIU	PIU progress report
CONSTRUCTION PHASE				
Prohibited activities	<ul style="list-style-type: none"> The contractor will not: (i) remove or disturb any vegetation, natural habitats, flora, fauna, or cultural heritage objects; (ii) spill any pollutants e.g. petroleum products; (iii) burn any wastes; (iv) dispose of rubbish or construction wastes on-site; (v) drink alcohol during working hours 	Contractor	PIU	PIU progress report
Construction and worker wastewater and	<ul style="list-style-type: none"> If necessary, erect simple drains around site perimeter to prevent runoff of any construction water and rainwater 	Contractor	PIU	PIU progress report, GASI inspection

Potential Issues	Mitigation measures	Implementing Agency	Supervising Agency	Monitoring Indicators
sewage	<ul style="list-style-type: none"> Provide adequate number of portable latrines for workers. Upon completion, remove all worker sewage Provide garbage receptacles at construction site 			form
Construction and worker solid waste	<ul style="list-style-type: none"> Store all materials in small areas to minimize area of construction disturbance Cover materials with tarpaulin to avoid runoff of oils or other chemicals from machinery during rains Upon completion, remove all construction waste materials Recycle as many materials as possible Dispose remaining materials in <i>soum</i> landfills Prohibit burning of waste 	Contractor	PIU	PIU progress report, GASI inspection form
Construction noise	<ul style="list-style-type: none"> Maintain equipment and machinery in good working order Operate between 07:00–22:00 subject to agreement with residents and/or other stakeholders Communicate with residents to seek any feedback or suggestions on noise disturbance Overall risk is small due to minor nature of the civil works 	Contractor	PIU	PIU progress report, GASI inspection form
Air pollution (construction dust, machinery and vehicle air emissions)	<ul style="list-style-type: none"> Prohibit the use of any large machinery Maintain well-kept machinery to minimize exhaust emissions Avoid clearance of any existing vegetation or habitats Overall risk is small due to minor nature of the civil works 	Contractor	PIU	PIU progress report, GASI inspection form
Occupational health and safety	<ul style="list-style-type: none"> Provide safe supply of clean water for workers Provide personal protection equipment for workers in accordance with relevant health and safety regulations Establish emergency response procedures to address any accidents or emergencies and include these in the site-EMP Document occupational accidents, diseases, and incidents Display emergency contact numbers for local fire, medical and police services in a prominent place 	Contractor	PIU	PIU progress report, GASI inspection form, number of incidents
Community health and safety	<ul style="list-style-type: none"> Identify potential risks or disturbance to residents and/or disruption to services If necessary, develop measures to minimize disruption, include these in the site-EMP, and communicate them (including dates, duration) in advance to all affected people Display signs at construction sites to warn general public of potential hazards e.g. equipment, materials Secure all construction sites, especially at night 	Contractor	PIU	PIU progress report, GASI inspection form, number of incidents
Grievance Redress Mechanism	<ul style="list-style-type: none"> Contractor to immediately report any complaints received to PIU Workers to be aware of GRM and report to on-site construction manager immediately if they receive complaints Workers to be instructed to treat residents with respect 	Contractor, PIUs	PIU	PIU progress report, number of incidents and complaints
OPERATION PHASE				
Management of facilities and/or	<ul style="list-style-type: none"> Project stakeholders apply the training received in the construction phase to operate the facilities 	Project agencies and	PIU	PIU progress report

Potential Issues	Mitigation measures	Implementing Agency	Supervising Agency	Monitoring Indicators
equipment	<ul style="list-style-type: none"> • Maintain project equipment as per operational procedures developed at design stage • Implementing agencies review and revise procedures as needed 	communities		

EMP = Environmental Management Plan, GASI = General Agency for Specialized Inspection, GRM = Grievance Redress Mechanism, NEMA = National Emergency Management Agency, PIU = project implementation unit.
Source: Asian Development Bank.

ENVIRONMENTAL SAFEGUARD CLAUSES FOR CIVIL WORKS CONTRACTS

The general environment, health and safety obligations of the Contractor within this Contract, without prejudice to other official provisions in force, shall include the following.

- The Contractor shall ensure that the construction of project facilities comply with (a) all applicable laws and regulations of Mongolia relating to environment, health and safety; (b) the environmental safeguards stipulated in ADB's Safeguard Policy Statement (2009); and (c) all measures and requirements described in the EMP
- The Contractor shall prominently display contact details at the sites. The Contractor shall disseminate information on construction progress in a timely manner, including anticipated activities that might cause safety risk.
- The Contractor shall implement the relevant actions of the project grievance redress mechanism (GRM). This includes: responding to any complaints within seven days; if the issue is not resolved, following up immediately with the PIU and resolving it within seven days; or if still not resolved, following the subsequent advice given by the PIU in accordance with Stages 1–3 of the GRM.
- The Contractor shall ensure that all workers treat residents and other stakeholders with respect, and undertake their work and behavior in a culturally respectful manner.
- The Contractor shall secure the necessary permits and licenses before undertaking the works.
- The Contractor shall assign the responsibility for coordination of the site-EMP to the site manager, and ensure that sufficient resources are available to implement the site-EMP.
- The Contractor shall provide equal pay for equal work, regardless of gender or ethnicity; provide those they employ with a written contract; provide the timely payment of wages; use local unskilled labor, as applicable; comply with core labor standards and applicable labor laws and regulations, including stipulations related to employment, e.g. health, safety, welfare, workers' rights, and anti-trafficking laws; and not employ child labor. Contractors shall maintain records of labor employment, including the name, ethnicity, age, gender, domicile, working time, and the payment of wages.
- The Contractor shall take necessary precautions to avoid damage to natural habitats, including natural vegetation, streams, and wetlands, and interruptions to water supply, wastewater collection, heating and other utility services during the civil works.
- The Contractor shall prepare a site-EMP based on the EMP in Appendix 2.
- The Contractor shall take appropriate action against personnel not complying with these clauses and EMP.
- The Contractor shall document and report to the PIU any incidents caused by the works.
- The Contractor shall inform the PIU of any unanticipated environmental, health and safety risks or impacts that may arise during implementation of the contract.

ENVIRONMENTAL SITE INSPECTION CHECKLIST

Note: This form is designed for use by the project implementation unit (PIU) and/or GASI⁴⁴ environmental, health, and safety inspectors during site inspections, and may not be exhaustive. Modifications and additions may be necessary to suit individual project activities and to address any specific environmental issues.

Location: _____
 Inspection Date: _____
 Inspection Time: _____
 Inspector(s): _____

Inspection Item	Yes	No	N.A.	Remarks (i.e. problem observed, possible cause of problem, and/or proposed corrective/ preventative actions)
1. Has contractor appointed a construction supervisor and is the supervisor on-site?				
2. Is information pertaining to construction disclosed at construction site (construction period, contractor information, etc.)?				
3. Are chemicals/hazardous products and waste stored on impermeable surfaces in secure, covered areas?				
4. Is there evidence of oil spillage?				
5. Are chemicals stored and labeled properly?				
6. Is construction equipment well maintained? (any black smoke observed)				
7. Is there evidence of excessive dust generation?				
8. Are there enclosures around the main dust-generating activities?				
9. Does contractor regularly consult with residents to identify concerns?				
10. Is there evidence of excessive noise? If yes, describe location and equipment.				
11. Any noise mitigation measures adopted (e.g. use noise barrier / enclosure)?				
12. Is construction wastewater and domestic wastewater discharged to sewer systems (if possible), or are on-site treatment facilities (e.g. septic tank, portable latrine) provided?				
13. Is there any wastewater discharged to soil or surface water?				
14. Is the site kept clean and tidy? (e.g. litter free, good housekeeping)				
15. Are separated labeled containers/ areas provided for facilitating recycling and waste segregation?				

⁴⁴ Mongolia's General Agency for Specialized Inspection.

Inspection Item	Yes	No	N.A.	Remarks (i.e. problem observed, possible cause of problem, and/or proposed corrective/ preventative actions)
16. Are construction wastes / recyclable wastes and general refuse removed off site regularly?				
17. Have hazardous wastes been identified (such as asbestos, PCBs)?				
18. Is safe supply of clean water and an adequate number of latrines provided for workers?				
19. Is personal protection equipment (PPE) provided for workers?				
20. Are clear information and warning signs placed at construction sites?				
21. Are construction sites secure, to discourage access?				
22. Are fire extinguishers / fighting facilities properly maintained and not expired? Escape not blocked / obstructed?				
23. Is there any evidence of damage to vegetation, habitats, or streams?				
24. Are disturbed areas properly re-vegetated after completion of works?				
25. Any other problems identified or observations made?				

Date, Name and Signature of GASI Inspector or PIU staff member

SAMPLE CONSULTATION RECORD

Participants

Consultation Location:			
Consultation Date:			
Purpose of Consultation:			
Name and Position of Facilitator:			
Name	Organization / Occupation	Village / District	Gender

Consultation Record (meeting, focus group, discussion)

Key Issues Discussed	Proponent (general position only required)
Action and Deadline	Agency to implement the action
Additional Comments	