



GRAND DUCHY OF LUXEMBOURG
Ministry of Foreign Affairs
Directorate for Development Cooperation



United Nations Development Programme

Country: MONGOLIA

Project Document

Project Title	Strengthening local level capacities for disaster risk reduction, management and coordination in Mongolia	
UNDAF Outcome(s):	Reduced risks and consequences of natural and man-made disasters at national and community levels	
Expected CP Outcome(s):	Improved sustainability of natural resources management and resilience of ecosystems and vulnerable populations to the changing climate	
Expected Output(s):	National climate and disaster risk management capacities improved in coordination, communication and networking Capacities of vulnerable sectors and communities strengthened in climate change adaptation and disaster risk reduction	
Implementing Partner:	Deputy Prime Minister's Office/National Emergency Management Agency of Mongolia	
Responsible Parties:	Ministry of Environment and Green Development, Ministry of Industry and Agriculture and Mongolian Academy of Sciences.	
Brief Description		
<p>Overall goal of the project is to facilitate a decentralized disaster management through sustainable prevention, response and coordination mechanisms, thus reduce vulnerabilities of urban and rural poor. Objective of the project is to enhance disaster management capacities by clarifying roles and responsibilities, formalizing local-level disaster management mechanisms and applying tailored approaches for disaster prevention, preparedness and response in urban and rural settings. At the policy level, the main focus will be on improved coordination and integration of disaster management issues into national and local level development planning. Three inter-related programme outputs will support the achievement of the objective: 1) Policy and regulatory frameworks enable clearer roles and responsibilities for improved disaster risk reduction and management; 2) Local-level disaster management mechanisms have procedures and competencies tailored for urban and rural vulnerabilities; 3) Feasible local-level mechanisms for disaster risk reduction and response further replicated.</p>		
Programme Period: 2012 - 2016 Key Result Area: Enhancing disaster risk management capabilities Atlas Award ID: Start date: 1 February 2013 End Date: 31 December 2016 PAC Meeting Date: 20 November 2012 Management Arrangements: National Implementation	Total resources required: USD 1,500,000 Total donor resources: USD 1,400,000 <ul style="list-style-type: none"> • Regular TRAC1: USD 100,000 • Other: <ul style="list-style-type: none"> • Government of Luxemburg: USD 1,400,000 • Government of Mongolia: USD 500,000 (parallel) 	

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Acronyms

ADB	Asian Development Bank
BCPR	Bureau for Crises Prevention and Recovery UNDP
CBDMU	Community Based Disaster Management Unit
CBO	Community Based Organization
CCA	Common Country Assessment
DM	Disaster Management
DMP	Disaster Management Plan
DPM	Deputy Prime Minister
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
DRRPC	Disaster Risk Reduction Partnership Council
EMD	Aimag Emergency Management Division
GIZ	German International Cooperation Agency
FAO	Food and Agricultural Organization
HFA	Hyogo Framework for Action (2005-2015)
ICT	Information and Communication Technology
IFAD	International Fund for Agriculture and Development
ISDR	International Strategy for Disaster Reduction partnership
LC	Local Coordinator
MDGs	Millennium Development Goals
MIA	Ministry of Industry and Agriculture
MEGD	Ministry of Environment and Green Development
NCDB	National Civil Defence Board
NFA	National Framework of Action 2006-2015
NEMA	National Emergency Management Agency
NIM	National Implementation
NGO	Non-Governmental Organization
NPD	National Project Director
NPC	National Project Coordinator
Nukhurlul	Mongolia term for herder group
PB	Project Board
PIU	Project Implementation Unit
RMMAP	Resource Mobilization Material Acquisition Plan
PPE	Personal Protective Equipment
PRA	Preparedness Response Assessment
TOR	Terms of Reference
TPR	Tripartite Review (Government of Mongolia, Government of Luxembourg, UNDP CO)
UNCT	United Nations Country Team
UNDAC	United Nations Disaster Assessment and Coordination
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNISDR	United Nations International Strategy for Disaster Reduction
UNOCHA	United Nations Office for Coordination of Humanitarian Affairs
UNTG	United Nations Theme Group
USAID	United States Agency for International Development
WB	World Bank

Part I. SITUATION ANALYSIS

1.1 Nature of Disaster Risks in Mongolia

Although Mongolia's population density is among the lowest in the world, the country is vulnerable to various hazards. Its continental climate conditions are among the harshest in the world, characterized by its long and cold winters, low amount of precipitation throughout the year and severe summer droughts. Recurring *dzuds* and droughts over the last 10 years have affected a large proportion of rural population, whereas a rapidly growing urban population is at risk to fires, flash floods and earthquakes, in addition to the growing technological hazards such as chemical spills. The rapidly growing mining sector does not only cause challenges to the natural environment in many parts of the country, it poses human security risks as well. Climate change may exacerbate these conditions, possibly with more intense and extreme weather events and further decrease in quality of the country's fragile ecosystems.

Dzud/Drought: One of the most extreme winter weather hazards known to humankind is *dzud*. It is a very complex and long-lasting phenomenon, mainly caused by a combination of natural elements such as long-lasting or sudden spurts of heavy snowfall, extremely low temperatures, or drifting windstorms that preclude animals from grazing. The term *dzud* can be described as a 'livestock famine', with a widespread death of animals because of hunger, freezing and exhaustion. Because of a heavy reliance of pastoralists on livestock, it poses severe risks to livelihoods and the economy in *dzud* affected areas. For the first time in living memory, Mongolia was struck by three consecutive *dzuds* (in 1999-2001) following severe summer droughts, with a loss of ~3 million heads of livestock per year. Another *dzud* in winter of 2009-2010, resulted in ~10 million heads of livestock (22% of the country's livestock). The climate change models predict further increase in the number of extreme events for Mongolia, including *dzuds*, in the future.

Earthquake: Mongolia is located in a seismically active zone. Occurrences of over 40 earthquakes with magnitudes greater than 6 on a Richter scale are recorded during the last two decades. Those with magnitudes greater than 8 were recorded 4 times in the 20th century. After the recent catastrophic earthquakes occurred in other countries, the Mongolian Government started to take actions to address the issue of preparedness to potential earthquake disasters. Approximately 70% of the capital city buildings are identified as vulnerable to earthquake, including major hospitals, power plants and other essential infrastructures. Additionally, the general public is unaware of basic preparedness measures and necessary survival steps in case of earthquake.

Forest and steppe fires: Numerous forest and steppe fires occur in Mongolia annually. Approximately 55.6% of the country's territory is classified as vulnerable to forest and steppe fires. Although fire is a natural element of Mongolia's forest ecosystem regeneration, in many instances, forest fires are caused by human activities and result in numerous human casualties. Limited availability of personal protective gears and equipments for the professional fire-fighters often results in casualties. Lives of four fire-fighters were lost during the forest and steppe fire fighting operations in Dornod Aimag in May 2012. Therefore, protection of human lives and assets, as well as forest itself is a crucial aspect of disaster risk management in Mongolia. The forest fire is the primary cause of forest degradation, far ahead of any biotic hazard.

Flood: Urban flash floods are a significant contributor to disaster risks in Mongolia. The risk is increasing due to the competition for a limited space in urban areas, especially in Ulaanbaatar, the capital city. Even the flood plains of Tuul River and parts of Bogd Khan National Park are facing encroachment. Unplanned settlement areas, especially the *ger* areas are expanding due to internal migration from rural areas. *Ger* areas at the city outskirts are often situated in flood pathways, where the residents have no protection from flash floods. Most of the flood protection infrastructures in Ulaanbaatar were established after the flood in 1966, the highest recorded since the 1940s. Due to a poor maintenance, the flood protection system in Ulaanbaatar can bear neither intense rainfalls, nor spring snowmelt water. Frequency of flash floods and extent of damage are

increasing every year. For example, intense rainfalls on 17 and 21 July 2009, (17-51.6 mm for 30-60 minutes), resulted in relocation of almost 2,000 households with a total damage valued at 2.7 billion Tug (~1.93 million USD). Projected changes in rainfall patterns will directly impact human settlements, especially when these are expanding to dried-up river channels.

Snow and dust storms: Heavy snow storms are the severest of all disasters in Mongolia and result in casualties of predominantly nomadic herders who get lost in a snowstorm with or in search of their livestock. In January 2011, 12 people died in snowstorms and another 11 in April, 2011. Strong winds can break trees, tear down electricity and telephone posts and destroy houses and *gers*. Approximately 60% of dust storms in Mongolia occur in springtime. Dust storm lasts at an average of 3.1~6.0 hours, with the speed of about 6~20 m/s on a land surface. Severe dust and sand storms, affects air quality and significantly reduces visibility. The airborne particles of fine and dry soil originated in the deserts of Mongolia and northern China are carried eastward by prevailing winds and pass over Korea, and Japan, the Russian far east and sometimes, are carried much further, affecting air quality as far east of the United States.

Animal diseases/epidemic: In Mongolia, as a country with approximately 50Mln. heads of livestock (2012), animal epidemics of viral and bacterial origins continue to cause substantial economic losses. Infectious animal diseases can be endemic with occasional human cases and pose serious public health risks, due to the fact that rural households are involved in raw meat processing. Common threats are Foot and Mouth Disease (FMD), rabies, equine and camel influenza, avian and swine flu and anthrax. The FMD outbreak takes place most frequently, affecting cloven-hoofed animals, including domestic sheep, goats, cattle and camels. As a fatal disease to young animals, it becomes extremely challenging to control, when transmitted to wild herbivore, such as the Mongolian white-tail gazelle. A large-scale surveillance and appropriate preventive measures are required.

Chemical spills and Industrial accidents: Despite overall progresses in chemicals management, Mongolia still faces challenges in this regard, due to a limited experience and knowledge of professional organizations and general public. Country's preparedness for toxic chemical hazards has proven to be extremely weak, after a notorious chemical spill at a gold mine in Khongor Soum, Darkhan-Uul Province in 2007. Capacities of professional organizations need to be strengthened along with an increased supply of adequate techniques and equipments. Only few studies report of impacts of toxic and hazardous chemicals to human health, environment and society in Mongolia and are not widely disseminated. Therefore, manuals and guidelines should be developed through scientific research works on impacts of toxic chemicals; symptoms and signs of poisoning; irreversible environmental damages and hazards of chemicals, and disseminated to professionals and wider public.

Table 1. Overview of Disaster Risks in Urban and Rural settings

Main Disaster Risks	Urban setting		Rural setting	
	Impact	Frequency	Impact	Frequency
Dzud/Drought	Low	Medium	High	Medium
Earthquake	High	Low	Low	Low
Forest and steppe fire	Low	Low	High	Medium
Building fire	Medium	High	Medium	Low
Flood	Medium	High	Medium	Medium
Wind/Snowstorm	Low	Medium	High	Medium
Animal epidemics	Low	Medium	Medium	Medium
Chemical spill	Medium	Medium	Low	Low
Industrial accident	Medium	Medium	Low	Medium

1.2. Mongolia's progresses in Disaster Risk Reduction

As supported by UNDP and other development partners, the Government of Mongolia has made significant gains in the area of disaster risk management. Disaster management project that was implemented in several phases through UNDP support was a key in developing institutional capacities for disaster risk management in Mongolia. The capacity development support is consistent with the commitment embodied in the Hyogo Framework of Action (HFA) 2005-2015.

Major accomplishments of the Phase I include a formulation of the Law on Disaster Prevention, its approval, and establishment of the National Emergency Management Agency (NEMA) by merging three separate organizations: Civil Defence, the State Reserve, and the State Fire Fighting Department. The Phase II enabled the development of a National Framework of Action (NFA) on Disaster Risk Reduction and a National Action Plan based on the HFA. The project also supported implementation of the Law on Disaster Prevention through provision of capacity building opportunities to NEMA and its 30 local branches. Community-based Disaster Management systems were piloted and Disaster Risk Reduction (DRR) Partnership Councils established in eight soums of four aimags.

A completion of the Phase III further substantiated earlier achievements. The capacity of NEMA for emergency response has improved significantly at all levels after the project implementation. The organisation's human resource capacity was strengthened through systematic training programmes. The organisation's operational capacity also increased, especially its search and rescue operations. Personal protective equipments and a variety of *Hazmat* Emergency Response kits, fire fighting and rescue tools were provided. A new procurement plan was developed for the coming years to bring NEMA's material acquisition up to the international standards. A significant policy level outcome was a completion and a formal adoption of a "**National Policy on Disaster Prevention**" (NPDP) and a "**National Programme on Strengthening Disaster Prevention Capacity**" (NPSDPC).

At the **community level, 55 groups** were established in **10 soums and 2 urban districts**, involving 2,118 individuals in 593 households. The group members who developed a good understanding of the main disaster risks management approaches, jointly work on disaster prevention. They also play an important role in local-level decision making, particularly in localities where DRR partnership councils are established. The communities made notable progresses in making their livelihoods more resilient to potential disasters through a series of livelihood support activities, which focused on rehabilitation of winter camps, provision of equipment and training opportunities to add value to their products and build storage facilities for hay and fodder etc.

Significant efforts were directed towards **raising awareness** and establishing **information systems on disaster management**. New mobile-*ger* information centres enabled herder groups and local people to access and share disaster-related information and knowledge specific to their localities. The Mobile-*ger* information centres are operational in all target areas, and approximately 30% of the local population became regular visitors. The development and dissemination of different handbooks on climate and disaster risk reduction and disaster management in all provinces of Mongolia enabled local people to better understand the risks and measures to cope with those.

The terminal evaluation of the project pointed out that: *"There are few countries in the world that have piloted with satisfactory results such an array of interrelated disaster risk management activities, including: getting two novel, inter-sector policies developed (disaster risk protection, and climate risk management); professionalize NEMA to a very high degree as an autonomous, civil agency; strengthen and scale-out new disaster risk management structures at soum (rural district) and khoroo (urban sub-district), as well as rural and urban community levels and connect them to the national system; and develop a public awareness and education strategy in relation to disaster risk management and adaptation to climate change."*

1.3 International policy framework

As extent of disaster impacts is increasing in a rapidly changing world, the crucial links between disasters and economic growth are becoming a mainstay of both developmental and humanitarian thinking. The subject has been studied and elaborated over the past 20 years, with a milestone in advocacy reached in 2005 when 168 countries committed themselves to the implementation of the Hyogo Framework for Action (2005-2015): Building the Resilience of Nations and Communities to Disaster (HFA), by allocating the necessary resources and setting up the appropriate institutional and legislative frameworks to facilitate its implementation.

The HFA has provided guidance and motivated national governments to adopt long-term and sustained commitments to building societies safer from disaster risks, as a way to protect crucial development gains, making key linkages between disaster risks and the achievement of the Millennium Development Goals (MDGs) by 2015. The HFA recognizes that Disaster Risk Reduction (DRR) must be “mainstreamed” into the full range of development sectors to achieve resilient nations and communities. A multi-sectoral imperative must seek engagement of a broad range of stakeholders from governments, international organizations, media, civil society (including volunteers and community-based organizations), the scientific community, and the private sector.

1.4 New National Policy Framework

A “National Policy on Disaster Prevention” (NPDP) and a “National Programme on Strengthening Disaster Prevention Capacity” (NPSDPC) that were approved by the Mongolian Parliament in March 2011, integrate concepts of the HFA for Disaster Risk Reduction (DRR), and objectives of the MDG-based Comprehensive National Development Strategy (CNDS) of Mongolia. A number of important measures are planned for the coming years to enhance the country’s ability to be prepared for, and respond to multiple hazards. The most important activities reflected under the programme is **broaden the engagement of the country’s various stakeholders in disaster protection by defining their roles, responsibilities, and develop institutionalized structure of the public and private sectors and improve early warning systems (Box 1).**

BOX 1 Objectives of the NATIONAL PROGRAMME ON STRENGTHENING THE DISASTER PROTECTION CAPACITY

Mongolian State Ikh Khural
Resolution # 22, May 2011

Two. Programme objective

2.1. The programme objective is aimed to strengthen the disaster management system, reduce disaster vulnerability, provide efficient involvement of local governance, agencies, private sectors and citizens in Disaster Protection Activities and improve disaster preparedness capacities and their capabilities;

2.2 Programme goal will be achieved in the frame of following strategic objectives:

2.2.1 Strengthen disaster management system and provide efficient involvement of local governance, agencies, private sectors and local citizens in disaster protection activities;

2.2.2 Conduct Risk Assessment of natural, man-made and technical disasters by each type, and coordinate campaign on disaster vulnerability reduction at National level;

2.2.3 Enhance government and private sector’s engagement, strengthening the disaster risk insurance and define legal environment of disaster humanitarian aid coordination

2.2.4 Identify and apply modern methodology and technology in survey of hazardous phenomena and potential disasters as well as forecasting and information dissemination and improve early warning system

2.2.5 Strengthen the human and technical capacities for disaster response

1.5 Main challenges for disaster management

1.5.1 Weak coordination in face of large-scale disasters

Early recovery efforts during the 2009-2010 *Dzud* by various development partners revealed a number of weaknesses in overall disaster management planning and coordinating processes. The weaknesses included **the absence of an integrated DRR system that would define the mutual roles and responsibilities of state administrative and local governance bodies as well as the division of roles between different levels of state administration and a lack of capacity and resources**. The *dzud* response efforts were not well-timed and coordinated, appropriate forms of support not clearly identified, available resources poorly targeted for relief efforts at both macro and micro levels and decisions for resource allocation were, to certain extent, political. Lack of transparency and information sharing were observed among the Government entities and development partners, as well. As a result, opportunities were missed for alleviating enormous negative impacts.

There is no multi-sectoral coordination platform for large-scale disasters. UNDP's 2010 Assessment of Development Results in Mongolia report recognizes UNDP programme impacts at the policy level, contributions to developing capacities of the National Emergency Management Agency (NEMA) and to filling various gaps to address vulnerabilities of citizens. At the same time, it recommended **focusing on enabling broader partnerships for DRR and strengthening the required multi-stakeholder coordination for effective disaster response**.

1.5.2 Limited capacity for disaster management at the local level

There is no official NEMA outreach at the soum level, except for the part-time disaster management squads activated in case of emergencies. Overall, the disaster management activities at the local level are sporadic and heavily dependent upon a small range of donors. Aside from UNDP, international NGOs such as Red Cross and World Vision are also players in community-based DRM. The aimag and district branches of NEMA are involved in these activities, although often only nominally. The central NEMA does not have an exact overview of the geographical coverage of activities and resources/capacities at the local level, particularly at the soum and community levels.

The final evaluation of the Disaster management programme in 2011 highlighted **"that there is no presence of NEMA at community level, although the DRRPCs, HGs and SHGs that have been set up have acquired basic disaster risk management knowledge/skills and some basic equipment to operate**. This is related, in particular, to the lack of a clear role of **Local Self-help groups**¹ at the *soum* level but also a – related - lack of clarity regarding the NEMA's support role. Without necessarily being seen as such, the local self-help groups function de facto as NEMA's lowest level risk management 'eyes, hand and feet'. It is observed that by handling disasters themselves, community groups are supporting NEMA.

It is unlikely that with its current set up, staff, and budget, NEMA will be able to develop a strong presence at the community level. Capacity building at the local level alone cannot fully address these critical issues. It is the fact that, the functioning of the DRRPCs, HGs and SHGs at the local level is limited to occasional meetings only, due to the absence of formal regulatory framework to make such mechanisms sustainable. These challenges call for urgent need to implement strategic objectives as set forth in the NPSDPC.

The local Governments do not have legal obligations to allocate budget for DRR and there is no specific budget lines for disaster contingencies. Allocations from the central national budget to

¹ Disaster Risk Reduction Partnership Council, Herder Groups, and Self Help Groups will be further called as Local Self-Governance bodies

Aimag EMD are marginal. Supply of personal protective equipment and gears for rescue workers and firefighters are insufficient, which unnecessarily increases risks of human casualties during the rescue operations. Although there is a large potential to Volunteer supports are applied only on ad-hoc basis and there are no trained volunteers for specific emergency responses.

Part II. PROJECT INFORMATION

2.1 UN Support framework for Disaster Risk Reduction in Mongolia

The project will contribute towards achievement of outcomes and outputs as set forth in the United Nations Development Assistance Framework (UNDAF) 2012-2016 that was developed in close consultation with Government of Mongolia and other development partners. The UNDAF seeks "to reduce vulnerabilities and increase resilience" through mainstreaming climate change and Disaster Risk Reduction (DRR) into "all programmes and at all levels." In addition to mainstreaming the DRR, the UNDAF also recognizes the need to address DRR capacities particularly at the local level.

The UNDAF was developed following the *dzud* in 2009-2010, and recognized that the *dzud* early recovery experiences "demonstrated the need for greater disaster preparedness, coordination and management at all levels, including communities, civil society organizations and private enterprises." The UNDAF also emphasizes the need for DRR interventions that recognize the changing climate, and the need to establish "an improved understanding of the causes and consequences of climate risk and the role of climate change, particularly regarding cost-effectiveness and priority of identified adaptation options for vulnerable sectors and communities". In support of enhanced Disaster Risk reduction, "the UN Country Team intends to:

- Strengthen functional capacities in inter-sectoral planning and coordination, communication, information-sharing and networking,
- Analyze climate change risks and options for adaptation, with focus on vulnerable groups
- Improve disaster preparedness in the agriculture sector
- Increase public awareness and incorporate disaster risk-reduction elements into the education sector, and help to establish a coordination mechanisms for timely responses to emergencies (within the sector)"
- Use volunteerism as a possible means to enhance DRR at the community level.

2.2 Project Strategies

The project formulation is heavily based on the findings of UNDP's internal Assessment of Development Results for 2000-2010, the terminal evaluation of Disaster management programme 2008-2011, review and analysis of other development partner interventions and intensive consultation with multiple stakeholders in 2011. The main strategies are articulated as below.

Supporting national priorities: To address broad vulnerabilities across the country and further needs for disaster risk reduction, the project will support urban and rural disaster risk management activities identified in the "National Policy on Disaster Prevention" (NPDP) and the "National Programme on Strengthening Disaster Prevention Capacity" (NPSDPC), strategic objectives 2.2.1, 2.2.3 and 2.2.5 (Box 1). The project activities will be fully in line with the Government Action Plan, MDG-based Comprehensive National Development Strategy and National Climate Risk management Strategy.

Building on previous lessons and best practices: Through UNDP-supported disaster management programme significant achievements were made by heavily focusing on development of national level capacities for disaster management. On the other hand, the longer-term impact of this initiative was modest due to a strong emphasis on inputs and products (provision of equip-

ment, plans, training courses etc.) rather than on the due process and outcomes. Therefore, in its Country Programme Document 2012-2016, UNDP Mongolia identifies further need to strengthen national and local disaster management structures and coordination and management capabilities, with a special focus on large-scale disasters such as *dzud* and earthquakes.

The project will address a lack of clear institutional arrangements for local DRM, which is a major impediment to developing sustainable capacities at that level. Successful models on community-level disaster prevention, preparedness and response generated through earlier phases will be replicated. Furthermore, the project will take specific recommendations of the terminal evaluation of UNDP's disaster management programme Phase III into consideration, namely:

- Design and implement more tailor-made disaster risk management initiatives for urban and rural settings considering different environments, risks and resources.
- Design and implement a modest *pilot* initiative to bring the private sector of Mongolia on board of future Programme/project interventions and generate lessons for a larger strategy.
- Disseminate the very valuable traditional knowledge documented in Phase III through novel forms of learning and action at local, provincial and national levels.
- Expand the localized weather forecasting/early warning systems pilots currently underway.
- Develop and execute a participatory communication strategy with/for key actors: herders/herder groups; urban dwellers/self-help groups; technical (field) staff of government agencies and non-government agencies; *sum* government staff.
- Strengthen the gender analysis, and monitoring and evaluation capacities of *all* individuals and agencies directly involved in future Programme/project interventions.

Addressing distinctive hazard risks, vulnerabilities and needs for rural and urban population: Rural and urban populations have different needs to minimize the impacts of slow-onset disasters, *i.e.*, *dzud*, drought and other climate-related hazards, largely affecting rural populations and rapid-onset disasters, *i.e.*, flash floods, forest and steppe fires, earthquake, chemical spills and contamination, transportation/road accidents affecting both rural and urban populations. Earthquakes and flash floods are becoming emerging hazards specific to densely populated urban areas and project will prioritize addressing challenges associated with these hazards. Overall, the project activities will be specific to a range of hazards in geographic regions and tailored to the needs of local communities.

Facilitating innovative volunteer support mechanisms: Promoting volunteer support at the community level will be within the wider context of identifying realistic and sustainable roles and capacity needs for local disaster management squads, community self-help groups and determining formal mechanisms to foster and manage voluntary actions. This also involves issues of clear functions, legal status and incentives for volunteer supports for emergency preparedness and response operations based on international best practices (*i.e.* volunteering for emergency management units equivalent to obligatory military services). This will be also reflected in development of disaster risk indicator system for organizational, development and institutional actions to reduce disaster vulnerabilities and losses. The project will consider experiences of other Volunteer Involving Organizations, such as United Nations Volunteers (UNV) and involve national UN Volunteers in project implementation to the extent possible. The project will benefit extensively from national and possibly, international UNV support, particularly for the local level interventions.

Ensuring gender mainstreaming in DRR: It is internationally recognized fact that women play a crucial role in disaster preparedness and the aftermath. Integration of gender sensitive approaches will be sought in all aspects of the project recognizing the different needs of women, men, youth and the disadvantaged as in the previous Phase of UNDP's Disaster management programme. The project will ensure gender mainstreaming in development of all policy documents and guidelines, equal involvement of men and women in DRM, in planning and budgeting, distribution and collection of gender-disaggregated data in monitoring of assistance provided, etc.

The Programme should consult and work on practical approaches with UNDP Gender advisors, develop a set of detailed gender indicators and integrate into the work plans.

Ensuring sustainability of interventions: This project will facilitate bottom-up processes arising from the community's recognition of its own needs and aspirations for risk reduction and increased resilience. In order to ensure sustainability of disaster management capacities built at the community level, capacities of local government will be strengthened in parallel. The weaknesses in local governance in relation to disaster risk reduction will be addressed, including lack of formal obligations, permanent enforcing structures, financing mechanisms, and incentives. Capacities of existing DRRPCs will be strengthened, along with a presence of NEMA at the community level. The project exit strategy will be developed and implemented in collaboration with NEMA and other stakeholders well in advance of the project closure.

2.2 Project Goal and Objective

Overall goal of the project is to facilitate a decentralized disaster management through sustainable prevention, response and coordination mechanisms and thus reduce vulnerabilities of urban and rural poor. The objective of the project is to enhance disaster management capacities by clarifying roles and responsibilities, formalizing local-level disaster management mechanisms and applying tailored approaches for disaster prevention, preparedness and response in urban and rural settings.

Three inter-related programme outputs will support the achievement of the objective:

Output 1: Policy and regulatory frameworks enable clearer roles and responsibilities for improved disaster risk reduction and management

Output 2: Local-level disaster management mechanisms have procedures and competencies tailored for urban and rural vulnerabilities

Output 3: Feasible local-level mechanisms for disaster risk reduction and response further replicated

2.3 Project Outputs and Activities

Output 1. Policy and regulatory frameworks enable clearer roles and responsibilities for improved disaster risk reduction and management

Roles and responsibilities will be clarified at all levels through a detailed review and analysis of the existing institutions and bodies for disaster risk management. The review will consider the key aspects of the current structure, overall coordination, planning and budgeting mechanisms. Through the review process, the best feasible mechanisms will be determined and a disaster risk indicator system developed to support disaster risk reduction for urban and rural communities on the basis of international comparative experiences. The policy recommendations will be validated through stakeholder consultations and dialogues. Defining roles and responsibilities at the local level will focus on functions the communities can realistically take on themselves and types of support needed for that. The roles of district and aimag level Emergency management departments will reflect respective roles of DRRPC and urban and rural communities and capacities strengthened accordingly. Thus, this project will enable incorporating disaster risk reduction issues into development planning, support decentralization process and amendments of national level policies and guidelines that are substantiated through numerous policy dialogues and local level pilots.

Planned activities to achieve the Output 1:

- 1.1 Review current institutional, legislative and policy frameworks for clarified roles and responsibilities for disaster risk management

- 1.2 Develop suitable mechanisms for management, coordination and funding for disaster risk reduction and management at the local level, based on the international best practices
- 1.3 Facilitate formalization of disaster management mechanisms at the local level (district, khoroo, aimag and soum).

Output 2. Local-level disaster management mechanisms have procedures and competencies tailored for urban and rural vulnerabilities

The project will provide opportunities to local governments, rural and urban communities to learn, upgrade and share essential skills and knowledge to systematically address disaster risk reduction challenges at the community level and to facilitate the processes of reducing disaster risk of vulnerable communities. The project will help the communities to make use of the “Disaster Risk Assessment Methodology” developed through the earlier Phase of the UNDP’s disaster management programme, to identify and assess risks in their localities. Public awareness measures focused specifically on public consciousness and psychology to understand disaster risks and interpret early warning messages to cope with consequences of disaster, will be important part of project interventions.

District and aimag level Emergency management departments will be further strengthened, as NEMA is expected to be a source of technical, financial and material support to the DRRPCs and urban and rural communities. In providing search and rescue equipment and gears to emergency management departments, innovative and state-of-the-art ones will be procured only, to serve as a model for Government procurement. Based on the regional facilities, regular training and re-training of local communities and emergency task forces for a range of hazards will be maintained. By doing so, local level knowledge and experience sharing will be enabled through various regional events, simulation exercises and emergency response drills. Establishment of specialized rescue units will be supported volunteers, and a regional level reserve system for more efficient management of state reserves for emergency.

Vulnerability and multi-hazard maps and methodologies and software for exchange of disaster related information developed for cities, districts, aimags and soums that are considered for development planning, disaster prevention and preparedness. Local task forces and disaster management squads, supported by volunteers, will be trained on various response functions including Early Warning, Search and Rescue Operations, First Aid, Shelter Management, Trauma Counseling and Damage Assessment. Earlier piloted early warning systems will be connected to the central meteorology agency for improved forecasting and information dissemination, as well as for cost-efficiency to enable further replication in other areas.

Planned activities:

- 2.1 Raise public awareness on hazards, vulnerabilities and personal response measures through various means
- 2.2 Strengthen capacities of local level emergency management units in support of implementing local disaster management plans
- 2.3 Constitute and train Disaster Management taskforces on various response functions
- 2.4 Strengthen early warning and dissemination mechanisms of forecasts, hazards and vulnerabilities

Output 3. Feasible local-level mechanisms for disaster risk reduction and response further replicated

The activities planned under this Output will be a basis for policy level interventions as complemented by capacity building and awareness raising efforts. In other words, lessons learnt locally are expected to feed into to the national level policies and guidelines. The mechanism applied to the DRR Partnership Councils and community context will complement and help make a stronger

case for up-scaling feasible models and amending relevant policy documents. By making use of developed and approved guidelines, city, district, aimag and soum-level multi-hazard preparedness and mitigation plans will be developed through vulnerability mapping, risk assessment and analysis, hazard zoning, resource inventory, response structure etc., ensuring gender dimensions to disaster management. In addition to the feasible mechanisms, good practices identified in the Phase III will be further replicated, including fire fighting units, mobile information centers, and early warning systems that have been set up at the soum level.

Planned activities:

- 3.1 Facilitate establishment of disaster management mechanisms reflecting regional and local specifics in both urban and rural settings
- 3.2 Based on the National level plan, develop local (Aimag) level disaster management plans that are gender-mainstreamed, multi-sectoral and integrated into local development policies, reflecting response, preparedness and mitigation strategies for a range of hazards
- 3.3 Replicate successful models for disaster risk reduction at the local level through volunteer support

2.4 Project Results Framework

A detailed results framework, including annual Output targets, as well as indicators, is provided in Annex 1.

2.5 Project budget and workplan

A detailed resources framework disaggregated by project years and activities is provided in Annex 2.

2.6 Partnership and coordination

As in the previous phases, coordination and collaboration with both central and local government organizations, external development partners, NGOs and CSOs, are considered as crucial for the project success and maximize impacts.

Table 2. Project partnership strategy

Stakeholder	Anticipated roles
Government entities	
Deputy Prime Minister's Office/National Emergency Management Agency	The implementing partner responsible for the project outcomes. It will provide policy guidance and staffing support for implementing the project.
Ministry of Environment and Green Development	Overall conservation of nature and implementing UNFCCC and UNCCD. It is Project implementing partner and its implementing agencies, Water Agency, Forest Agency, Specially Protected Area Administration will be main counterparts
Ministry of Industry and Agriculture	Main counterpart for interventions to reduce agricultural sector disaster risks, including animal epidemics.
Ministry of Construction and Urban Development	Main counterpart for earthquake-related preparedness and response measures, construction safety, standards and building codes, norms and standards
Local Government (target aimags and soums and Ulaanbaatar city)	Provides implementation support at the local level and ensures mainstreaming disaster risk reduction into local level policies and development planning
Academia	
Mongolian Academy of Science and research institutes	Institute of Meteorology and Hydrology, National Agency for Meteorology and Environmental Monitoring will be the main partners in networking for early warning, forecasting and information dissemination

Stakeholder	Anticipated roles
	tion system.
Communities and Private sector	
Local communities	Project implementers and direct beneficiaries at target sites of the project and other administrative units that will replicate suitable local-level mechanisms for disaster management
National media	Information dissemination on disaster risk reduction preparedness and individual responses to general public
Development partners and NGOs	
UN Agencies (FAO, UNICEF, UN-FPA in Mongolia), Humanitarian Country Team (HCT) and ISDR	Activities will be coordinated with individual UN agencies with specific interventions planned for reducing disaster risks for the programming cycle of 2012-2016. The project activities will be complementary to the overall coordination efforts through a cluster approach by the UN Humanitarian Country Team. ISDR will support UNDP in its efforts on improved governance of disaster risk reduction.
Red Cross, ADRA, JICA, World Bank, Asian Development Bank and World Vision	Technical inputs during the project implementation and implementation. Ensuring complementarities and synergies with activities of other on-going and future projects (Avian influenza, agriculture sector risk reduction, index-based livestock insurance, earthquake risk mapping etc.).

2.6 Project target sites

Site selection was made in close consultation with NEMA, local government and other stakeholders. Through the proposed project, the best practices generated through the earlier phases are expected to be replicated to new Aimags/soums. Within the project framework, approximately one third of the soums will be newly added and the rest is retained from the previous phase, in order to apply the already strengthened capacities in replicating best practices and successful models to the newly selected sites. At the same time, the project will continue working on strengthening, empowering and sustaining the existing self-help groups in soums that are retained from the Phase III.

Criteria for selecting the new target sites were as the following:

- Relatively central location and close proximity from the sites retained from the Phase III in order to reduce the management cost
- Proneness to natural disasters and other emergencies
- Highest frequency of emergency cases occurred during the last 3 years
- Extent of damages and losses resulted by low level of emergency response capacity
- Local Government request

Urban setting: During the last two decades, Ulaanbaatar and other large cities, Darkhan and Erdenet have experienced rapid expansions. For example, for the period of 1990-2011, Ulaanbaatar City experienced a population increase of almost 70%. People from surrounding areas and also from remote *aimags* migrated to urban areas in search of livelihood opportunities and better economic prosperity. However, due to limited capacities to provide adequate social services and urban infrastructures, accommodating extensive inflow of migrants is becoming ever more challenging.

Increasing demand of land resulted by unplanned growth of *ger* areas forced vulnerable communities to settle in hazard-prone areas over time. Communities and local authorities have limited capacities to respond to the existing hazards. Therefore, the project will focus on expansion of DRRPCs and self-help groups in Chingeltei and Songinokhairkan districts of Ulaanbaatar city based on the primary risk assessment of each district. The same approach will be considered in secondary cities, such as Darkhan.

Rural setting: Selenge and Dornod aimags are added as new sites, due to the natural proneness to flash floods and forest fires respectively, the two of the main natural disasters in Mongolia. Selenge Aimag is vulnerable to chemical hazards, as a result of mining activities in this Aimag. In 2012, extensive forest fires in Dornod Aimag took lives of four firefighters and river ice break in Selenge took lives of two persons. These were mainly caused by weak capacities at the local level, especially due to shortage of search and rescue equipments. The target soums are tabulated and illustrated as below.

Table 3. Project target Aimags and Soums

	Aimags	Soums	Status
1	Dornod	Bayan uul	New
2		Bayandun	
3	Selenge	Mandal	New
4		Altanbulag	
5	Bulgan aimag	Selenge	Retained
6		Teshig	
7		Saikhan	
8	Khentii	Jargaltkhaan	Retained
9		Binder	
10	Dundgobi	Gobi-Ugtaal	Retained
11		Bayanjargalan	

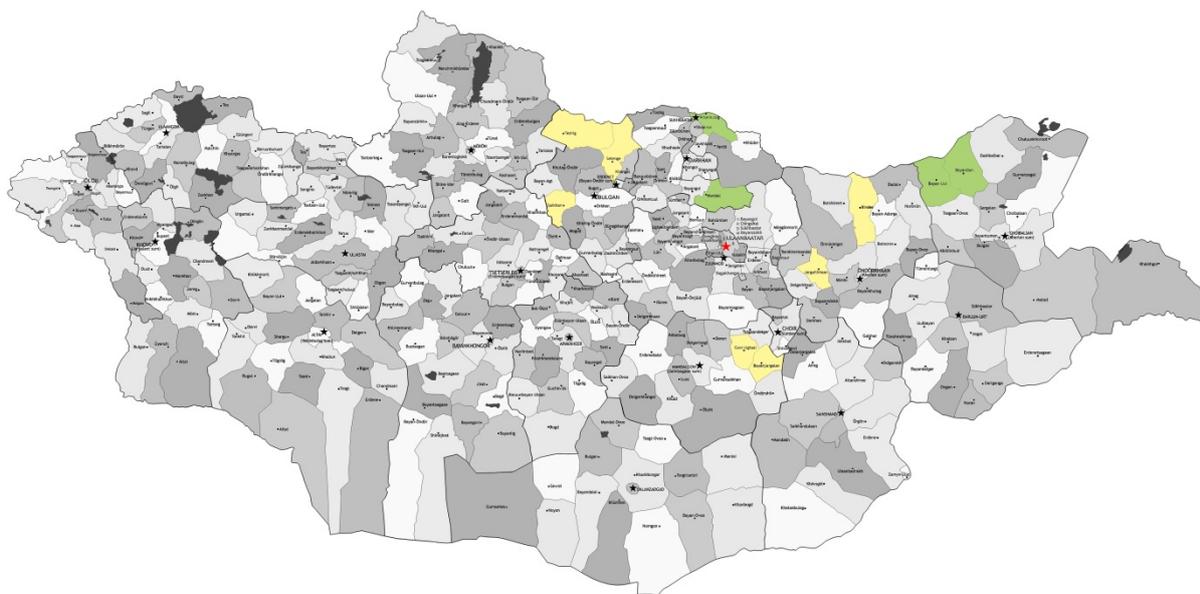


Figure 1. Project target sites

Part III. Management arrangements

The project will be implemented over a period of four years from the beginning of 2013. Project implementation will adhere to **National Implementation (NIM)** Modality. The Ministry of Foreign Affairs and Trade (MFAT) is the focal point for coordinating UNDP's technical cooperation in Mongolia. The Implementing Partner of the project will be NEMA as designated agency to implement **NPDP and NPSDPC and** is ultimately responsible for the timely delivery of inputs and outputs and for coordination of all other Responsible parties including other line ministries, relevant agencies, local government Authorities and local Emergency management departments.

The project will receive high-level guidance and oversight from a **Project Board** (formerly Project Steering Committee) responsible for making on a consensus basis management decisions for the project. PB contains three roles; 1) Executive role for representing the project ownership, 2) Senior Supplier role to provide guidance regarding the technical feasibility of the project, and 3) Senior Beneficiary role to ensure the realization of project benefits from the perspective of project beneficiaries.

The Project Board will be chaired by a high-level official of the Deputy Prime Minister's Office appointed by the DPM. The Project Board will be composed of designated senior-level representatives of the following organizations in accordance with the Results Management Guide:

- 1) Deputy Prime Minister/Chief of NEMA appointed by DPM – *Chair of the Board/Executive*
- 2) NEMA (if above is the DPM)
- 3) Ministry of Environment and Green Development (from forestry/ hazardous material departments)
- 4) UNDP (Programme Officer) – *Project Assurance*
- 5) Ministry of Industry and Agriculture (animal husbandry/pasture management department)
- 6) Ministry of Construction and Urban Development (construction safety, standards and building codes, norms and standards)
- 7) State Specialized Inspection Agency
- 8) Information and Communication Technology Agency
- 9) Ulaanbaatar City Mayor's Office
- 10) Representative of Eastern region soum government
- 11) Representative of Central region soum government

Appointments to the Project Board will be on an honorary basis and no fees will be paid. Upon request of NPD for nomination of Project Board members, the heads of the respective organizations shall appoint its relevant staff to represent them to the Project Board which is to be confirmed in the form of a nomination letter to NPD. The NPC serves as a secretary to PB with a status of a non-voting member. The TOR of the PB is presented in Annex 4.

A Project Implementation Unit (PIU) with a professional support may be established to support the National Project Coordinator (NPC) as necessary. However, the PIU is expected to be significantly smaller compared to the Phase III. The PIU will be located at NEMA and headed by a National Project Coordinator (NPC). He/she will be a national professional designated for the project lifetime. The NPC is responsible for day-to-day management for the project. The NPC's prime responsibility is to ensure that the project produces the results specified in the project document to the required standard of quality and within the specified constraints of time and cost. TOR of NPC is presented in Annex 5.

The NPC will work under the guidance of a National Project Director (NPD), a senior level official of NEMA appointed by DPM. The NPD will be responsible for ensuring the proper implementation of the project on behalf of the Government. In doing so, the NPD will be responsible for overseeing proper project implementation for the Government of Mongolia. Terms of reference of NPD is provided in Annex 6. An **alternate NPD** will be nominated by DPM to ensure a smooth operation of the project in the absence of NPD.

The UNDP Country Office will support project implementation by assisting in monitoring project budgets and expenditures, recruiting and contracting project personnel and consultant services, subcontracting, procuring equipment, and providing other assistance upon request of NEMA. The UNDP Country Office will also monitor the project implementation and achievement of the project outcomes/outputs and ensure the efficient use of donor funds. Financial transactions, reporting and auditing will be carried out in compliance with national regulations and UNDP rules and procedures for national implementation. UNDP will carry out its management and monitoring functions through an assigned Programme Officer at the Country Office in Ulaanbaatar, who will be

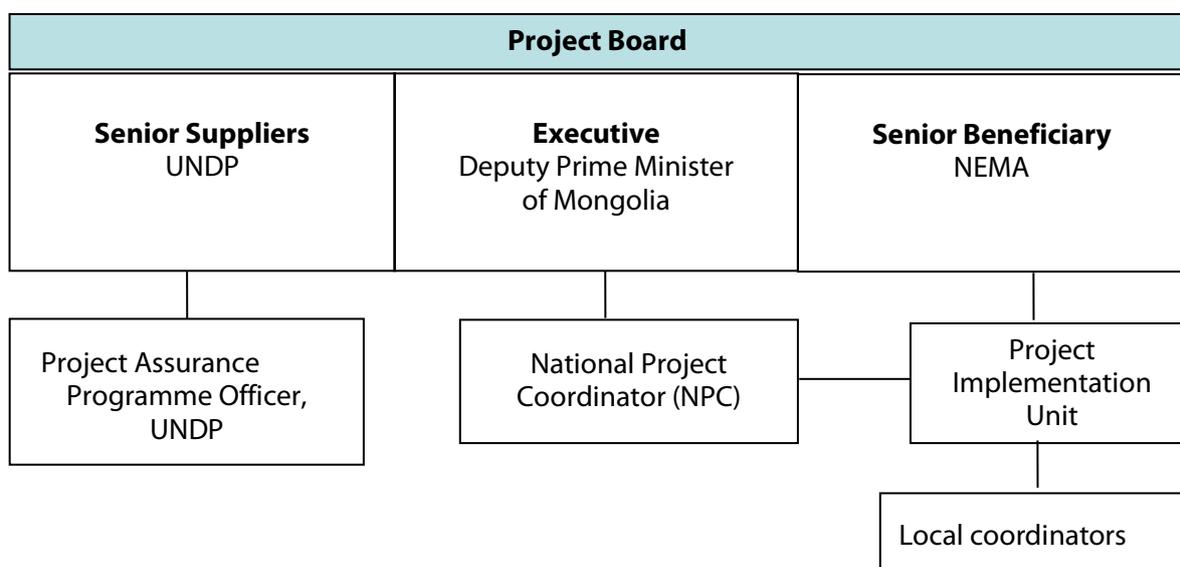
also responsible for the project coordination with NPD, project team and other national counterparts.

The UNDP team in Mongolia will receive technical support and assistance from the UNDP’s Bureau for Crisis Prevention and Recovery Unit in Bangkok (including, among others, Regional Disaster Adviser and the Disaster Reduction Unit of BCPR, Geneva) as well respective units at UN OCHA in Geneva in the area of UNDP CO capacity building for coordinating and supporting national efforts for DRR with specific emphasis on climate change related hazards.

NPC will be supported by a core technical and support staff at the NEMA and EMDs at aimag and district level. The following composition of the team is viable for smooth implementation of the project:

- National Project Coordinator
- Professional staff responsible for activities in respective target sites - EMD Directors of:
 - Dornod Aimag
 - Selenge Aimag
 - Bulgan Aimag
 - Khentii Aimag
 - Dundgovi Aimag
 - Songinokhairkhan district, Ulaanbaatar City
 - Chingeltei district, Ulaanbaatar City
 - # of NEMA Head office staff, as required
- 1 Administration and Finance Officer
- # of local coordinators at soums and Khoros, including a numerous national UNVs.

Local coordinators (LC) at soum/khoroo levels will be responsible for the implementation of all project activities at soum/khoroo level. In order to facilitate a participatory decision making, transparency and good governance at the community level, the Soum/Khoroo DRRPCs or comparable Government entity will serve as a local decision making body for project activities, and LC will serve as a secretary to DRRPC. The Council will be composed of Soum/Khoroo Governor, Heads of Soum Hospital, Post Office, Meteorology Office, School, Chair of Soum/Khoroo Resident Khural, and at least three leaders of functioning Herder/self-help Groups. It is also encouraged to invite representatives of local private sector entities, companies operating in a particular locality, who have a role and interest in DRR and emergency preparedness. The overall project management structure is illustrated below.



Legal Context

This document together with the Country Programme Action Plan (CPAP) signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in Article I of the Standard Basic Assistance Agreement (SBAA) between the Government of Mongolia and the United Nations Development Programme, signed by the parties 28 September 1976 and all CPAP provisions apply to this document.

The host country-implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government cooperating agency described in that Agreement. The relevant provisions of the SBAA would apply to the implementation of the Programme.

The UNDP Resident Representative in Mongolia is authorized to effect in writing the following types of revision to this Project Document, provided that he/she has verified the agreement thereto by the Government of Luxemburg and is assured that the other signatories to the Project Document have no objection to the proposed changes:

- a) Revision of, or addition to, any of the annexes to the Project Document;
- b) Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangements of the inputs already agreed to or by cost increases due to inflation;
- c) Mandatory annual revisions, which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and Inclusion of additional annexes and attachments only as set out here in this Project Document.

Part IV. Monitoring and Evaluation

4.1 Monitoring Framework

An overall monitoring framework is being designed to ensure effective multi-stakeholder (UNDP, Government, civil society, community, donors) monitoring of activities supported through the project, through on-site monitoring, regular reporting, and financial expenditure tracking. These functions would be supported by the Project Implementation Unit, but there would also be a dedicated UNDP CO staff for the functions related to monitoring and evaluation of the project activities. The monitoring framework is intended to achieve the following purposes.

- **Results-Orientation:** Ensure appropriate measurement and assessment of project performance in order to effectively improve its management and achieve results.
- **Quality Assurance:** Ensure quality in project activities to ensure best possible benefit for beneficiaries, through monitoring delivery and identifying issues that need corrective action and ensure that additional assistance is provided early.
- **Accountability:** Ensure accountability in the use of programme resources through a heavy emphasis on financial reviews to make sure that funds are being appropriately used to achieve defined outputs, and that the implementing agents have sufficient controls in place to demonstrate that funds are being used appropriately.
- **Transparency:** Ensure transparency in project activities, finances, and results to all stakeholders.
- **Learning:** Ensure that the project has mechanisms to ensure learning for purposes of improving ongoing implementation and guiding new initiatives, and to identify key lessons learned and successes from project implementation in relation to DRR processes by UNDP, the Government and development partners.

In order to achieve these purposes, the monitoring framework for the Phase IV would seek to apply the following measures:

- **Day to day monitoring** of implementation progress will be the responsibility of the NPC with oversight by UNDP. Based on the project's Annual Work plan and its indicators, the Project Team will inform the UNDP CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.
- **Periodic monitoring** of implementation progress will be undertaken by the UNDP CO through quarterly meetings with the project staff. This will allow parties to review and troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities. UNDP CO and Project Board members will conduct yearly visits to field sites to assess project progress first hand. A Field Visit Report will be prepared by the CO and circulated to all stakeholders.
- **Reporting:** The NPC will be responsible for the preparation and submission to UNDP the following mandatory reports: Quarterly Status Report, Annual Progress Report (APR), and the Project Terminal Report.
- **Information sharing:** To facilitate the sharing of information, the project staff will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects, and report will be submitted to the UNDP CO. If requested, the project staff will prepare project specific technical reports and technical publications. The technical reports will represent the project's substantive contribution to specific areas, and be used in efforts to disseminate relevant information and best practices at local, national and international levels.

4.2 Financial Monitoring

The programme's financial resources would be managed through a series of controls at various levels. All financial transactions are monitored, recorded, analyzed and reported through UNDP's newly introduced ATLAS Enterprise Resource Planning (ERP) system.

The Project Implementation Unit (PIU) is closely monitored by a relevant UNDP team. They confirm delivery of activities and outputs against the agreed schedules, and review and confirm whether the resources are being used in an effective manner. UNDP Financial monitoring includes the following:

- Monitoring and reviewing financial reports against agreed project budgets to ensure fairness of expenditure;
- Verifying accuracy and completeness of financial information, including review of supporting documents and test of expenditure details;
- Requesting clarification or additional information as required to verify and justify expenditures;
- Providing advice and technical assistance to the implementing unit on measures necessary to enhance their project financial management in line with UNDP standards and norms;
- Payments by the implementing unit that are not in line with approved AWP/QWP and/or which do not have adequate supporting details and documentation can be rejected for reimbursement by UNDP.

4.3 Audit and Evaluation

The project would be audited in line with the UNDP rules and regulations for national implementation. In addition, the project will be subject to Tripartite Review (TPR) meetings between the Government of Mongolia, UNDP CO, and the Government of Luxembourg at least once during the project lifetime.

For the benefit of all stakeholders, the following specific UNDP mechanisms will be defined and programmed with actions: Annual Progress Report (APR) subsequently submitted to the Government of Luxembourg, the Project Board represented by relevant stakeholders, Tripartite Review (TPR) meeting(s) at least once during the project and independent Terminal Evaluation.

A terminal TPR meeting will be held in the last year of project implementation. NEMA (NPD) will be responsible for preparing the Terminal Report and submitting it to UNDP CO, and the Government of Luxembourg for distribution. It will be prepared in draft at least six months in advance of the terminal Project Board in order to allow review, and will serve as the basis for discussions in the Project Board meeting.

The project will be subjected to at least one, ideally two independent external evaluations. An independent Terminal Evaluation will take place three months prior to the terminal Project Board meeting.

Annex 1. Results Framework

<p>Priorities as indicated in UNDAF 2012-2016: Environment, climate change and disaster risk reduction Outcome as indicated in UNDAF: Reduced risks and consequences of natural and man-made disasters at national and community levels Output and targets as indicated in CPAP 2012-2016: National climate and disaster risk management capacities improved in coordination, communication and networking. Targets:</p> <ul style="list-style-type: none"> - Clarified roles and responsibilities for state entities institutionalized and practiced in state of emergency - Human and technical capacities of key emergency management organizations further enhanced for emerging natural disasters and human hazards - Early warning systems for climate-related hazards enhanced in observation, detection and forecasting - Distinctive urban and rural models for community-based climate and disaster risk management further up-scaled 				
Expected outputs & baseline	Targets by project years	Indicative activities	Indicators and results	Partners
<p>Output 1. Policy and regulatory frameworks enable clearer roles and responsibilities for improved disaster risk reduction and management</p> <p>Baseline: Unclear roles and responsibilities and funding mechanism for local disaster management bodies.</p> <p>Lack of coordination among aimag and district EMDs, and other informal bodies</p>	<p>Target 2013: Realistic and sustainable roles of central² and local self-governance bodies³ in DRM identified;</p> <p>Proposed amendments for official documents enabling feasible local level disaster management mechanisms validated and gender mainstreaming ensured</p> <p>Target 2013-2014: Law on Disaster protection officially reflects required changes</p>	<p>1.1 Review current institutional, legislative and policy frameworks for clarified roles and responsibilities for disaster risk management</p>	<p>Policy recommendations on roles and responsibilities of central and local governments and other stakeholders for disaster management developed;</p> <p>Validated action plan through a national-level stakeholder consultation.</p>	<p>Central and local NEMA, Deputy Prime Minister's office, Local governments and community organizations, NGOs</p>
		<p>1.2 Develop suitable mechanisms for management, coordination and funding for disaster risk reduction and management at the local level, based on international best practices</p>	<p>Review report recommending feasible local-level mechanism to be institutionalized and action plan validated through relevant stakeholders incorporating:</p> <ul style="list-style-type: none"> - Coordination plans for disaster preparedness, response and recovery operations - Recommendations on budget allocation mechanism reflecting DRR needs - Regulations and guidelines for 	

² Line ministries in DRM including NEMA

³ DRRPCs, HGs, and SHGs

			disaster risk indicator system	
		1.3 Facilitate formalization of disaster management mechanisms at the local level (district, khoroo, aimag and soum).	Validation of policy recommendations and action plans: - # of learning sessions for decision makers on the application of new mechanism and related implications - # of public debates on proposed mechanism Approved Law regulations to support DRM at the local level	
<p>Output 2. Local-level disaster management mechanisms have procedures and competencies tailored for urban and rural vulnerabilities</p> <p>Baseline:</p> <p>Low human, technical and financial capacities at the local level for effective preparedness and response to disasters</p> <p>No formal body for disaster management at the soum and community level</p>	<p>Target 2014: Capacity building needs determined and validated</p> <p>Effective coordination and information sharing takes place among the different sectors for integrated and coherent preparedness and response.</p> <p>Application of DRM indicators for budget allocation for state, regional, <i>aimag</i>, soum and local self-help groups tested.</p> <p>Implementation of Resource Mobilization and material acquisition plan supported with focus on Aimag and soum level emergency units</p> <p>Public awareness materials on range of hazards, vulnerabilities and personal response measures prepared with gender considerations, regularly disseminated and owned by Government</p>	2.1 Raise public awareness on hazards, vulnerabilities and personal response measures through various means	<p># sampling survey reports on increased awareness</p> <p># of developed and disseminated training materials</p> <p># disseminated programmes through public media</p> <p>% of increase of individuals obtained information through mobile ger information centers</p>	<p>Central and local NEMA, National Agency for Environmental Monitoring, national and local media, Local governments (incl. Ulaanbaatar City Municipality), and community organizations, NGOs, private sector</p>
		2.2 Strengthen capacities of local level emergency management units in support of implementing local disaster management plans	<p>Capacity assessment report with recommendations on capacity strengthening of aimag, district EMDs, DRRPCs and communities</p> <p># of rescue workers with updated knowledge</p> <p># of methodologies and software for maintenance and exchange of disaster related information</p>	

	<p>Target 2015: Operational DRR professionals teams and task forces in urban districts, aimags and soums successfully respond to emergencies making use of a volunteer support</p> <p>Target 2016: Implementation of priority actions stated in the NPDP and NPSDPC supported</p>		<p># of vulnerability and multi-hazard maps for city, district, <i>aimag</i> and <i>soum</i> level</p> <p># of volunteers signed up for emergency units and task forces</p> <p>% of increase in material acquisition of aimag and district EMDs, self-help groups and task forces.</p>	
		<p>2.3 Constitute and train Disaster Management taskforces on various response functions such as Early Warning, Search and Rescue Operation, First Aid, Shelter Management, Trauma Counseling and Damage Assessment</p>	<p># of training manuals developed, published and disseminated</p> <p># of approved safety standards</p> <p># of task forces established and operational</p> <p># of trained and qualified individuals and volunteers on standard operating procedures for a range of hazards</p> <p>Piloted disaster risk indicator system at the <i>aimag</i> and <i>soum</i> level</p>	
		<p>2.4 Strengthen early warning and dissemination mechanisms of forecasts, hazards and vulnerabilities</p>	<p>Model of a cost-efficient early warning system (EWS) connected to the central Agency for Meteorology and Environmental Monitoring</p>	
<p>Output 3. Feasible local-level mechanisms for disaster risk reduction and response further replicated</p>	<p>Target 2014: Awareness of <i>aimag</i> and <i>soum</i> authorities and local communities improved on importance of incorporating disaster risk reduction issues in regional development agenda</p>	<p>3.1 Facilitate establishment of disaster management mechanisms reflecting regional and local specifics in both urban and rural set-</p>	<p># of MOU signed between local self-help bodies and aimag EMDs, stating clear roles and responsibilities</p>	<p>Central NEMA, Local governments and community organizations,</p>

<p>Baseline: Feasible disaster management mechanism incorporated in local government structure does not exist at the local level</p> <p>A limited understanding among decision makers about the importance of addressing disaster risks through a coordinated approach across various sectors</p>	<p>Gender-mainstreamed disaster risk management plans including coordination, response, preparedness and mitigation options developed and adapted by districts of Ulaanbaatar, soums and aimags governments</p> <p>Practical disaster risk reduction elements reflected in agriculture and water sector plans at aimag and soum levels.</p> <p>Target 2015-2016: Effective coordination mechanism with clear legal, technical and financial conditions for DRM at the <i>aimag, soum</i> level replicated.</p> <p>At least 4 Aimags have replicated feasible disaster management mechanisms</p>	tings	<p># of stakeholder groups with increased understanding on local level disaster management mechanism</p> <p># of national UNVs recruited as a HGs and SHGs coordinator</p>	<p>Ulaanbaatar City Municipality, DRRPCs and <i>aimag</i> and district EMDs</p>
		3.2 Develop gender-mainstreamed local-level disaster management plans integrated into local development policies, reflecting response, preparedness and mitigation strategies for a range of hazards	<p>Guidelines to mainstream DRR in local development planning processes</p> <p># of gender-mainstreamed multi-hazard disaster preparedness and mitigation plans (national, city, district, <i>aimag</i> and <i>soum</i>)</p> <p># of activities addressing community priorities for reduced disaster vulnerabilities in soum and aimag development plan/policy documents</p>	
		3.3. Replicate successful models for disaster risk reduction at the local level through volunteer support (Volunteer and Self-help Groups/Partnership Councils, Early Warning Systems, Fire fighting units, etc.)	<p># of Aimags and Soums with replicated validated models for local level disaster management</p> <p># of self-help groups</p> <p># of partnership councils</p> <p># of mobile information centers</p> <p># of fire fighting units</p> <p># of early warning systems</p>	

Annex 2. Total budget and workplan

Outputs	Activities	Donor	Description	Annual amounts, USD				Total
				2013	2014	2015	2016	
Output 1. Policy and institutional frameworks enable clearer roles and responsibilities for improved disaster risk reduction and management	1.1 Review current institutional, legislative and policy frameworks for clarified roles and responsibilities for disaster risk management	GoL	National consultant	4,000	6,000			10,000
			Service contracts	10,000	8,000			18,000
		UNDP	Training/Workshops	15,000	15,000			30,000
	1.2 Develop suitable mechanisms for management, coordination and funding for disaster risk reduction and management at the local level	GoL	International consultant	10,000	10,000			20,000
			National consultants	4,000	6,000			10,000
			Training/Workshops	4,000	8,000			12,000
	1.3 Facilitate formalization of disaster management mechanisms at the local level (district, khoroo, aimag and soum).	GoL	National consultant	6,000	6,000	2,000		14,000
			Training/Workshops	10,000	5,000	0		15,000
			Audiovisual/Printing		3,000			3,000
			Travel	5,000	5,000			10,000
			Miscellaneous	1,000	1,000	1,000		3,000
Subtotal (GoL)				54,000	58,000	3,000	0	115,000
Sub-total (UNDP)				15,000	15,000	0	0	30,000
Output 2. Local level capacities (urban and rural) strengthened for disaster prevention, planning, response and recovery	2.1 Raise public awareness on hazards, vulnerabilities and personal response measures through various means	GoL	National Consultants	2,000	5,000	5,000	5,000	17,000
			Training/Workshops	10,000	10,000	10,000	8,000	38,000
			Audiovisual/Printing	5,000	10,000	10,000	5,000	30,000
			Service contracts		10,000	10,000		20,000
			Rentals		2,000	2,500	2,500	7,000
	2.2 Strengthen capacities of local level emergency management units in support of implementing local disaster management plans	GoL	National consultants	8,000	16,000	15,000	5,000	44,000
			Service contracts		20,000	20,000	10,000	50,000
			Equipment	80,000	10,000			90,000
			Training/Workshops		20,000	20,000	7,000	47,000
			Materials and goods		5,000	5,000	3,000	13,000
2.3 Constitute and train Disaster		International consultant		18,000	0	0	18,000	

	Management taskforces on various response functions		National consultant	2,000	12,000	13,500	15,000	42,500	
			Service contracts		20,000	20,000	0	40,000	
			Training		15,000	20,000	5,000	40,000	
			Travel		8,000	8,000	5,000	21,000	
			Materials and goods	1,000	2,000	2,000	1,000	6,000	
			Miscellaneous	1,000	1,000	1,000	1,000	4,000	
	2.4 Strengthen early warning and dissemination mechanisms of forecasts, hazards and vulnerabilities	GoL	Service contracts		15,000			15,000	
			National consultants	2,000	5,000			7,000	
			Training/Travel		6,000			6,000	
			Materials and goods		10,000	3,000		13,000	
	Subtotal (GoL)				111,000	220,000	165,000	72,500	568,500
	Output 3. Feasible local-level mechanisms for disaster risk reduction and response further replicated	3.1 Facilitate establishment of disaster management mechanisms reflecting regional and local specifics in both urban and rural settings	GoL	National consultants		8,000	8,000	8,000	24,000
				Service contracts		10,000	10,000		20,000
Training					8,000	8,000		16,000	
Travel					4,000	4,000		8,000	
3.2 Develop gender-mainstreamed local-level disaster management plans, reflecting response, preparedness and mitigation strategies for a range of hazards		GoL	Service contracts		15,000			15,000	
			Training		7,000	5,000		12,000	
			Travel		4,000	4,000		8,000	
			Audiovisual/Printing		5,000	3,000		8,000	
3.3 Replicate successful models for disaster risk reduction at the local level through volunteer support		GoL	National consultants		18,000	18,000	10,000	46,000	
			Service contracts		20,000	15,000		35,000	
			Training		8,000	8,000	5,000	21,000	
			Equipment		30,000	30,000		60,000	
			Travel		8,500	7,500	3,000	19,000	
			Miscellaneous		1,500	1,500	1,500	4,500	
Subtotal (GL)				0	147,000	122,000	27,500	296,500	
Project management and oversight	Mid-term and terminal evaluations	GoL	International consultant	0	0	0	23,000	23,000	
			National consultants	0	12,000	0	7,000	19,000	
	Management	GoL	Personnel	31,000	42,000	42,000	42,000	157,000	
			Equipment	10,000	2,000	2,000	1,700	15,700	

		Travel	2,000	5,000	5,000	5,000	17,000
		Rental	1,000	3,000	3,000	3,000	10,000
		Materials and goods	5,000	7,000	7,000	7,000	26,000
		Miscellaneous	2,000	5,000	5,000	5,000	17,000
	UNDP	Personnel	13,000	17,000	17,000	17,000	64,000
	UNDP	Materials and goods	1,000	2,000	2,000	1,000	6,000
		Subtotal (GoL)	51,000	76,000	64,000	93,700	284,700
		Sub-total (UNDP)	14,000	19,000	19,000	18,000	70,000
		Total (Luxembourg)	216,000	501,000	354,000	193,700	1,264,700
		General Management Support (7%)	15,120	35,070	24,780	13,559	88,529
		Total (UNDP)	29,000	34,000	19,000	18,000	100,000
		TOTAL	260,120	570,070	397,780	225,259	1,453,229
		Internal support service (UNDP, ~3%)	6,000	18,000	16,500	6,271	46,771
		GRAND TOTAL	266,120	588,070	414,280	231,530	1,500,000

Annex 3. Risk Log

ID	Type	Date Identified	Description	Comments	Status	Owner
1	Financial	Programme Formulation	Risk of misuse or misappropriation of funds.	Setting up a Financial Tracking System for all the resources spent through the program. Strong emphasis on field validation of outputs, beneficiary interviews and surveys, and review of financial expenditure. Generation of physical and financial progress reports.	To be factored into design and implementation of monitoring system.	PIU, UNDP
2	Institutional	Programme Formulation	Limited capacity of UNDP and implementing partners hinders effectiveness of Programme implementation.	Augmenting the internal UNDP capacity through recruitment of a national professional at CO, providing systematic capacity building opportunities for national counterparts and following a thorough monitoring and evaluation framework.	To be factored into Programme formulation.	UNDP, BCPR
3	Institutional	Programme Formulation	Ineffective coordination that leads to overlaps and lost opportunities for synergy	Strengthening coordination mechanism through the regular meetings of the project stakeholders at NEMA. Regular meetings with the local Governments and local NEMA DRRPC and other projects with similar objectives to establish a collaborative relationship and avoid duplication in efforts. Continuous emphasis on seeking synergies with the on-going initiatives by the Government, external partners and NGOs.	To be factored into Programme formulation and monitored via regular meetings.	NEMA, PIU, UNDP
4	External	Programme Formulation	Recurrence of natural disaster (Zud, drought, forest fire and floods) causes new loss and creates setbacks in reconstruction process.	Recurrent natural disasters could cause a set back to the capacity development process. It needs to be addressed through reinforcing early warning systems and natural disaster preparedness Programmes with special focus on capacity-building of the local governments and communities most exposed to these risks.	To be factored into the Programme formulation.	NEMA, CBDMUs, Soum DRRPC

Annex 4: Terms of References of the Project Board

The **Project Board** (PB) provides overall technical advisory and management guidance, project assurance and oversight for the implementation of the project. Day-to-day coordination of the project will rest in the Project Coordinator. Appointments to the PB will be on an honorary basis and no fees will be paid.

The PB has the following composition:

- Deputy Prime Minister/Chief of NEMA appointed by DPM – *Chair of the Board/Executive*
- NEMA
- Ministry of Environment and Green Development (from forestry/ hazardous material departments)
- UNDP (Programme Officer) – *Project Assurance*
- Ministry of Industry and Agriculture and (animal husbandry, pasture departments)
- Ministry of Construction and Urban Development (construction safety, standards and building norms)
- State Specialized Inspection Agency
- National Agency for Meteorology, Hydrology and Environment Monitoring
- Information and Communication Technology Agency
- Representative of Western/Eastern region soum government
- Representative of Southern/Central region soum government

The Project Board will meet semi-annually, or if need be, more often, to review progress of the project.

The Project Board will be responsible for the following:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Agree on Project Manager's tolerances in the achievement of Outputs and Activities;
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded;
- Assess and decide on project changes;
- Assure that all planned deliverables are delivered satisfactorily.
- To monitor project implementation in terms of effectiveness and timeliness of inputs and in terms of the success of project activities.
- To oversee and provide guidance to project activities and ensure such activities address national priorities.
- To monitor project implementation to ensure that it remains in-line with the approved project document, financial rules and regulations of UNDP and requirements of any other donors providing co-funding.
- To provide a forum for ensuring an integrated approach to project activities and serve as a forum for stakeholder input and discussion.
- To resolve any conflicts or disagreements that arises with respect to project activities that cannot be resolved by the project team.
- To facilitate implementation of project activities in their respective organizations.
- To review Annual Project Reports (APRs) and annual workplans and budgets for project activities and consider proposed changes as recommended.
- To participate in a Tripartite Review and propose strategic changes of the project document if needs arise.

For the process of closing a project:

- Assure that all products deliverables are delivered satisfactorily;
- Review independent project evaluation and approve the end project report;
- Make recommendations for follow-on actions and post project review plan;
- Notify project closure to the Outcome Board.

Annex 5: Terms of References of the National Project Director

Duties and Responsibilities

The National Emergency Management Agency (NEMA) has been designated by the Government of Mongolia to oversee the national implementation (NIM) of the UNDP-supported project on its behalf.

1. The **National Project Director** (NPD), appointed by the NEMA, is a government representative, responsible for supporting implementation of the project. The NPD serves as the focal point on the part of a NEMA as such ensures effective communication between the government and other relevant national stakeholders/actors and monitors the progress towards expected outputs and strategic results under the project.
2. Specifically, the NPD's major responsibilities, in close collaboration with UNDP CO and the NEMA are:
 - (a) Undertake project advocacy at the policy level (high officials of the parliament, cabinet, line ministries, government agencies and other public sector institutions, civil society, private sector and the donor community) to ensure national commitment and contribution to the project objectives;
 - (b) Undertake policy level negotiations and other activities to facilitate effective and efficient project implementation and maximize its impact;
 - (c) Provide policy guidance to the PIU (Project Implementation Unit) congruent with national policies, including for the selection of local consultancy, training and other specialist services;
 - (d) In consultation with the Ministry of Foreign Affairs (MFA) and the Designated institution concerned, ensures that requisite financial allocations are contained in the national budget, in accordance with the in-kind, cash or cost-sharing budgets, and the established schedules of payment;
 - (e) Ensures that the project document revisions requiring Government's approval are processed through the MF (as a Government's Coordinating Authority), in accordance with established procedures;
 - (f) Participate in the finalization and approve the Project Annual and Quarterly Work Plans and budget, in close discussion with the UNDP, to maximize the leverage of the project resources in order to achieve the desired overall state of development and immediate objectives set out in the project document; s/he may also approve individual payments on a day-to-day basis.
 - (g) Supervise and approve the project budget revision and NIM delivery report;
 - (h) Review jointly with the PIU success indicators and progress benchmarks against expected project outputs so that progress can be assessed, and review and clear Annual Project Progress and Terminal Reports;
 - (i) Conduct regular monitoring sessions with UNDP and the PIU, including Project Appraisal Committee (PAC) Meeting, Annual and Terminal Tripartite Review Meetings to measure progress made or achieved towards the project objectives, and comment on Project Review and Evaluation Reports;
 - (j) Report regularly to the Project Board on the project progress, in conjunction with the PIU staff;
 - (k) Assess on regular basis staff work performance in the PIU, including that of National Project Manager, Administrative & Finance Assistant and other staff;

Establishes close linkages with other UNDP and UN supported as well as other donor or nationally funded projects/programmes in the same sector

Annex 6: Terms of References of the National Project Coordinator

Organizational Setting

The **National Project** Coordinator (NPC), under supervision of the National Project Director (NPD), will be responsible for achieving the outputs and, hence, objectives of the project, and ensuring the co-operation and support from the executing and implementing agent(s).

Job content

The NPC will be responsible for managing the implementation of the project, which includes personnel, subcontracts, training, equipment, administrative support and financial reporting keeping the NPD aware of all relevant factors which could impact on project implementation. The specific responsibilities of the NPC will be to:

1. Set up and manage the project office, including staff facilities and services, in accordance with the project work plan;
2. Prepare and update project workplans, and submit these to the NPD and DRR/P UNDP CO for clearance and ensure their implementation consistent with the provisions of the project document.
3. Ensure that all agreement with designated project implementing agencies are prepared, negotiated and signed.
4. With respect to external project implementing agencies:
 - a) ensure that they mobilize and deliver the inputs in accordance with their implementation agreement and contract, and
 - b) provide overall supervision and/or coordination of their work to ensure the production of the corresponding project outputs.
5. Act as a principal representative of the project during review meetings, evaluations and in discussions and, hence, be responsible for preparation of review and evaluation reports such as the Annual Project Report (APR) for the consideration of the NPD.
6. Ensure the timely mobilization and utilization of project personnel, subcontracts, training and equipment inputs, whether these are procured by the Executing Agent itself or by other implementing agents:
 - a) identify potential candidates, national and international, for posts under the project
 - b) prepare the ToR, in consultation with the implementing agent and subcontractors;
 - c) prepare training programmes (in consultation with the implementing agents) designed for staff, with particular emphasis on developing an overall training plan.
 - d) draw up specifications for the equipment required under the project; procure such equipment according to Government and UNDP rules and procedures governing such procurement.
7. Assume direct responsibility for managing the project budget on behalf of the NPD, ensuring that:
 - a) project funds are made available when needed, and are disbursed properly;
 - b) accounting records and supporting documents are kept;
 - c) required financial reports are prepared;
 - d) financial operations are transparent and financial procedures/regulations for NEX projects are applied; and
 - e) the project is ready to stand up to audit at any time.

8. Exercise overall technical and administrative oversight of the project, including supervision of national and international personnel assigned to the project.
9. Report regularly to and keeps the NPD/Executing Agency and UNDP CO up-to-date on project progress and problems, if any.
10. Ensure timely preparation and submission of required reports, including technical, financial, and study tour/fellowship reports;
11. Perform others coordinating tasks as appropriate for the successful implementation of the project in accordance with the project document.

Responsibilities on project completion and follow-up

In order to ensure the efficient termination of project activities, the NPC will:

1. Prepare a draft Terminal Report for consideration at the Terminal Tripartite Review meeting (Project Board Meeting), and submits a copy of this report to the UNDP Resident Representative and designated Executing Agency's official for comments at least 12 weeks before the completion of the project;
2. Make a final check of all equipment purchased under the project through a physical inventory, indicating the condition of each equipment item and its location; discusses and agrees with the UNDP and the implementing agent(s) the mode of disposition of such equipment and follow up on the exchange of letters among the UNDP, Government and implementing agent(s) on the agreed manner of disposition of project equipment; take action to implement the agreed disposition of equipment in consultation with the project parties.
3. Ensure all terminal arrangements relating to project personnel are completed at the final closure of the project.

Accountability

The NPC will work under the general guidance of and report to the National Project Director. The NPC is accountable to UNDP for the manner in which he/she discharges the assigned functions.

The NPC shall discharge his/her duties in line with the rules and procedures set forth in the UNDP National Implementation Manual and other project management guidelines including, where applicable, the provisions of the agreements concluded with cost-sharing donors. The NPC acts as the Certifying Officer. As such, he/she is responsible for the actions taken in the course of his/her official duties. The NPC may be held personally responsible and financially liable for the consequences of actions taken in breach of the prevailing financial rules and regulations.

General qualifications

Education:	Post-graduate level (preferable academic background)
Experience:	At least 5 years work experience in the relevant area; Demonstrated management experience and organizational capacity; Previous experience/familiarity with UNDP (or other donors) an asset.
Skills:	Good analytical skill, good interpersonal and communication skills, good computer skill
Language:	Fluent in both English and Mongolian