



MINISTRY OF ENVIRONMENT AND TOURISM

KFW



MONITORING AND EVALUATION GUIDELINES

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BACCP-2,3

Biodiversity and Adaptation to Climate Change II, III Project

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Foreword

The M&E Guidelines intend to help BACCP-II, III team and its partners select and focus on the right results, the realisation of the project development objective, capacity building for and ownership of monitoring and evaluation, and promoting knowledge and helping key stakeholders in identifying their roles in the project M&E process.

This is a toolkit collection of tools, each of which is designed to support the monitoring and evaluation function. , Monitoring represents a management responsibility and a basic foundation for evidence-based decision-making for strategic planning and resource mobilisation. It is a key measurement activity in our efforts to achieve organisational effectiveness. A project can only be managed as good as it can be measured. Although these guidelines are primarily aimed at BACCP-II, III IC and PIU teams, it is nonetheless an engaging, useful resource for all BACCP-II, III key partners and MET officials that share the common goal of protecting biodiversity in Mongolia.

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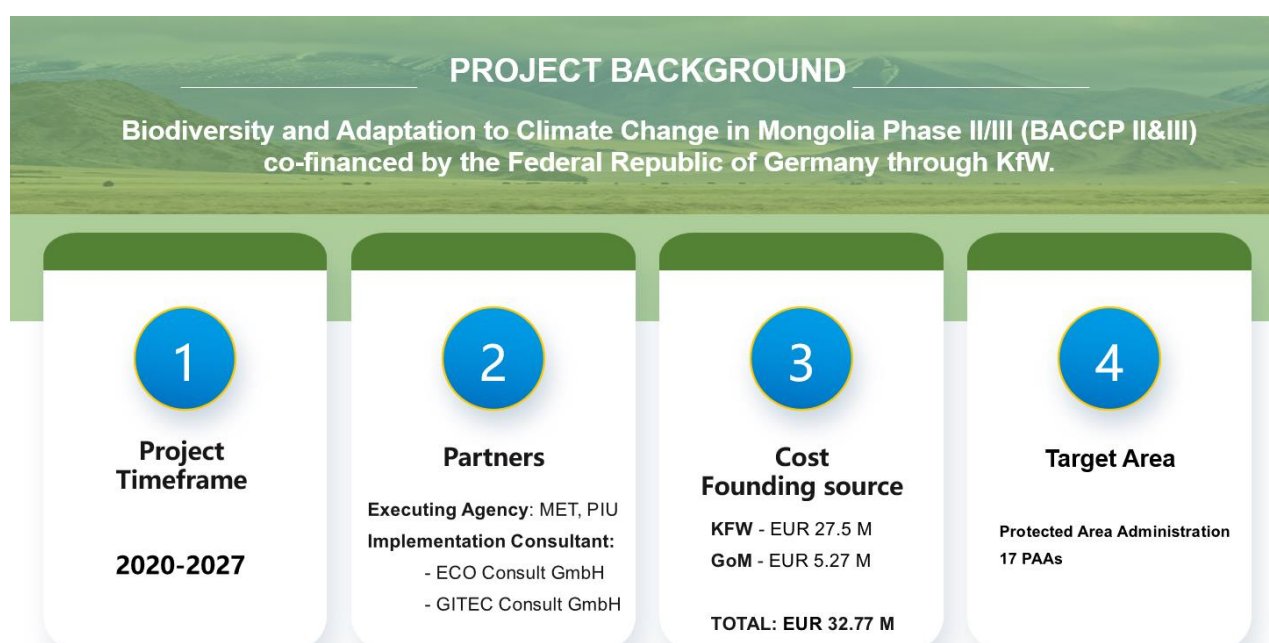
ABBREVIATIONS

Aimag	Province/first level administrative subdivision
ADET	Aimag Department of Environmental and Tourism
BACCP II/III	Biodiversity and Adaptation to Climate Change Project Phase II/III
BMZ	German Federal Ministry for Economic Cooperation and Development
BBS	Beneficiary-Based Survey
BZRF	Buffer Zone Revolving Fund
ESMP	Environmental and Social Management Plan
IC	Implementation Consultant
KfW	Kreditanstalt für Wiederaufbau (German Bank for Reconstruction)
GoM	Government of Mongolia
MET	Ministry of Environment and Tourism
MoF	Ministry of Finance
M&E	Monitoring and Evaluation
OECD/DAC	Organisation for Economic Cooperation and Development/Development Assistance Committee
NP	National Park
PAA	Protected Area Administration
PSE	Project Steering Committee
PIU	Project Implementation Unit
PMES	Project Monitoring and Evaluation System
SPA	Strictly Protected Areas

1 PROJECT BACKGROUND

The Mongolian-German Financial Cooperation Programme “Biodiversity and Adaptation to Climate Change” (BACCP II, III) aims to strengthen the management of the Mongolian Protected Areas System with special reference to climate change while simultaneously improving/stabilizing the livelihoods of local populations. This contributes to the overall Programme Objective of the Mongolian-German cooperation in the sector “Biodiversity”, which is the conservation of biodiversity and improvement of livelihoods, with special consideration of the effects of climate change.

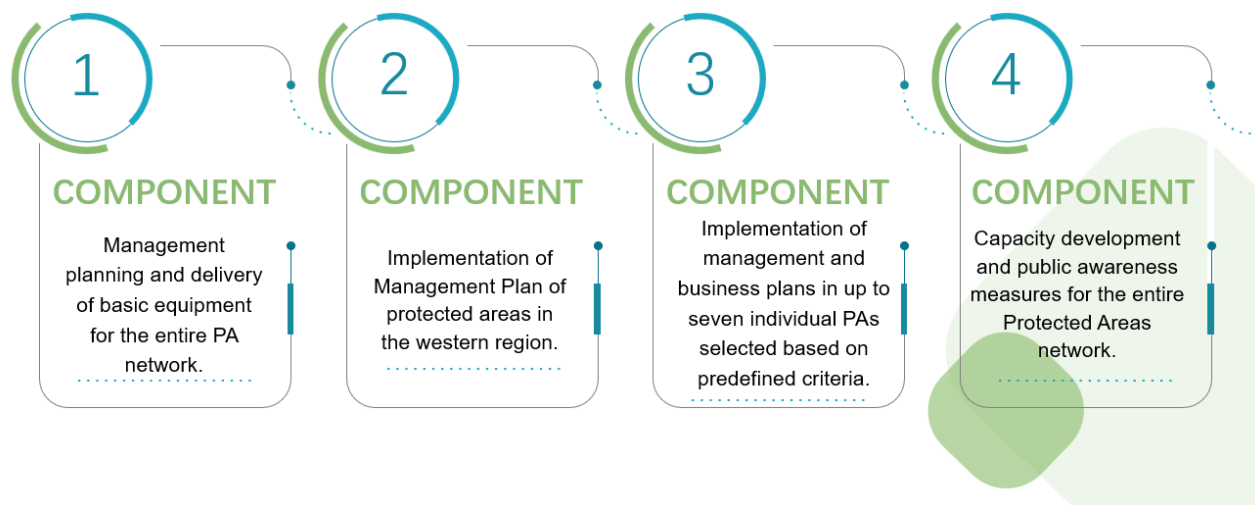
Figure 1. *Hierarchy of monitoring and evaluation*



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BACCP II/III will finance conservation model in Mongolia's western and south-western parts. The Project consists of four components:

Figure 2. Hierarchy of monitoring and evaluation



2 PURPOSE OF GUIDELINES

Any development and investment project requires a monitoring and evaluation framework as a significant component of the overall project management. With a robust monitoring, evaluation and reporting mechanism, it is easier to examine the progress and direction of project activities. But most importantly, the lack of monitoring information system halts project management's decision-making and learning outcomes.

The development banks such as KfW actively promote a results-based management system to improve development by measuring subsequent progress in investment activities.

The BACCP-II, III Monitoring and Evaluation Guideline is a principle that will assist key stakeholders in recognising their responsibilities in the project M&E process and, in particular, in supporting the achievement of the project development target via monitoring and evaluation.

The M&E Guideline offers general guidelines to implementers at various implementation stages to promote their active engagement and participation in the M&E activities defined in the Project logframe. It is also intended to be a tool for monitoring implementation progress toward the project indicators and providing timely intervention if necessary. It also defines and establishes the parameters/boundaries for M&E duty at the project levels in terms of planning, implementation, carrying out compliance monitoring, and reporting on M&E activities and data collection.

This will guarantee the availability of reliable M&E data and information on project implementation. This is applicable not just to improve project management but also to achievement transparency, learning, and accountability. In the long term, it supports and can confirm evidence-based decision-making for project implementers.

The Manual will assist project implementers, including key stakeholders, to:

- Clarify the project's effect on the target PAAs and communities and how outcomes will be accomplished.
- Determine how progress will be tracked to make any required modifications
- Gather the information required for monitoring and evaluation to explain the reasons for success or failure.

2.1 *Definition of Terms*

For applying this guideline:

- **“Project”** is the execution of activities over a planned period to achieve specific goals and objectives.
- **“Monitoring”** is a continuous or periodic process of collecting and analysing data and information to assess progress on project implementation.
- **“Evaluation”** is a periodic, systematic and impartial assessment to assess the relevance, efficiency, effectiveness, impact and sustainability of the project to guide on the further improvement of the project and the simulation of future projects.
- **“Input”** is a resource required to achieve output, including money, equipment and human resources.
- **“Output”** is the tangible result of the input- e.g. the building is constructed, civil servant trained, ranger house established, etc.
- **“Outcome”** is how the output has contributed to expected changes in the situation, which was to be addressed by the project.
- **“Impact”** is the long-term result of the outcome, including the overall social, economic, developmental effects.
- **“Indicator”** measures the achievement and progress of project objectives (output and outcome level).
- **“Implementation Consultant ” (IC)** shall support MET with the execution and operation of the project.
- **“Executing Agency (EA)”** is a body (MET/PIU) responsible for implementing and executing project activities.
- **“Operation and Budget Plan (OBP)”** is a document comprised of the schedule of activities and the respective budget.
- **“Project Steering Committee (PSC)”** is a supervisory and decision-making body for project implementation.

3 PROJECT MONITORING AND EVALUATION SYSTEM

The Project Monitoring and Evaluation System represents the core component of BACCP's monitoring and evaluation framework. The monitoring system is a pre-requisite in monitoring and evaluating the periodic performance of various project components in line with the project's targets.

RBM (or results-based management) is a strategy designed to achieve changes in organizations' operations, improving performance (better results) at the system's core. Performance measurement (performance monitoring) is concerned more narrowly with the production of information on performance and focuses on defining objectives, developing indicators, and collecting and analysing data on results. Results-based management systems typically comprise ten stages:

1. Conducting a Readiness Assessment
2. Agreeing on Outcomes to Monitor and Evaluate
3. Selecting Key Indicators to Monitor Outcomes
4. Baseline Data on Indicators —Where Are We Today?
5. Planning for Improvement —Selecting Results Targets
6. Monitoring for Results
7. The Role of Evaluations
8. Reporting Findings
9. Using Findings
10. Sustaining the M&E System within the Organization

In many instances, significant investment and development project objectives are implied rather than expressly stated. In such cases, the first task of performance monitoring is to articulate what the project intends to achieve in measurable terms.

With clear objectives, choosing the most appropriate measures (indicators) and expressing the project targets becomes easier.

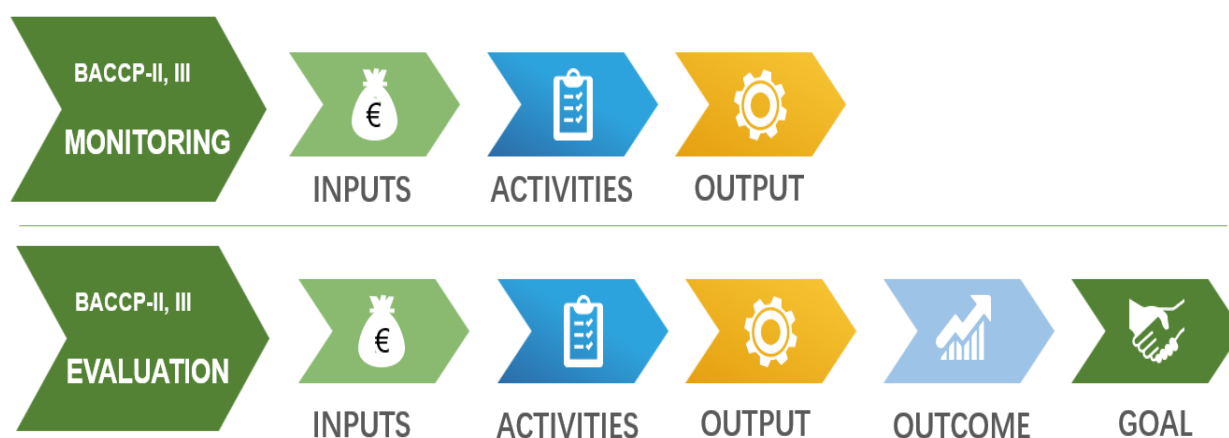
The setting up investment Project Performance Monitoring and Evaluation system for BACCP-II, III Project, therefore, requires: clarifying Project objectives; identifying performance indicators; setting the baseline and targets, monitoring results, and reporting.

The documentation or reporting of the M&E of the project is critical to regularly keep the executing agency/PEA (MET/PIU) and the Implementation Consultant (IC), Donor (KFW Development Bank) and other stakeholders informed of progress towards the achievement of the project.

Table 1. Relationship between monitoring and evaluation¹

	MONITORING	EVALUATION
FOCUS	Monitoring is concerned with the inputs and outputs and the actions carried out. It tries to assess if and how project outputs are delivered within target regions, as well as direct outcomes that were achieved and are attributed to the project.	The results and objectives of a project are the subjects of evaluation. It assesses if, why, and how goals are reached and provides a measure of BACCP-II, III's contribution to enhancing the administration of the Mongolian Protected Areas System with a focus on climate change, while also improving/stabilizing local inhabitants' lives.
SCOPE	The project monitoring scope is unique to the project's goals, inputs, outputs, and activities. Whether or not these components are relevant and continually tied to the project result is also considered.	The scope of evaluation broadly covers the outcomes and the degree to which programs, the project, soft assistance, initiatives by partners, and synergies among partners contribute to the project outcomes.
PURPOSE	The purpose of monitoring is project-based, and it aims to either improve the implementation process, alter the direction of future projects in the same area or increase the scale of the project.	The evaluation aims to strengthen the effectiveness of development, guide and support decision-making and policy-making, guide the future provision of BACCP and develop an organized system for innovative approaches to sustainable human development.

Figure 2. Hierarchy of monitoring and evaluation



¹ (*Note: The M&E of BACCP-II, III project generally adopts the Results Based Management of OECD/DAC, defined as a 'management strategy focusing on performance and achievement of outputs, outcomes, and impacts').

Monitoring and Evaluation are the two different management steps and hierarchies.

Monitoring, It answers the project's present scenario towards achieving planned results considering the human resources, budget, materials, activities and outputs.

Conversely, **evaluation** is a scientific process that gauges the success of the project in meeting the objectives and It assesses the relevance, impact, sustainability, effectiveness and efficiency of the project's outcome and goals.

3.1 *Monitoring*

3.1.1 *Objective*



Project-level monitoring will be required for all activities. Project monitoring tracks and reports on progress in implementing the project during its life. Projects are typically planned on annual cycles and adjusted every six months based on monitoring data collected by the project team or through a supervision mission.

The monitoring of the project implementation is essential for the following reasons: (i) allows early identification of implementation challenges and for timely appropriate corrective actions to be taken; (ii) provides records on what happened during project implementation and for the dissemination of lessons learnt with local, national and international audiences; and (iii) helps explain the findings of the evaluation by providing contextual information on how and why (or not) the project was (or not) successful.

The monitoring activities of the project will include but not be limited to, quarterly and annual monitoring of project results, monitoring of the effect of the project on beneficiaries, including a focus on lessons learnt and good practices for replication, further improvements of internal monitoring mechanism and support to the performance management system in the civil service, by reviewing the related procedures and guidelines, putting in place effective monitoring system at all levels, and promoting the culture of performance management.

Project monitoring entails:

- Collecting data on the implementation of activities and outputs according to the annual operation plan (OP);
- Collecting data on the delivery of results and impacts according to the indicators identified in the logical framework/ monitoring and evaluation plan;
- Reviewing the financial situation of the project.

3.1.2 *Progress monitoring performance indicators*

Monitoring will focus on the project performance and progress concentrating on inputs, activities and outputs based on each verifiable indicator in the logical framework and operational plan (OP) (**Annex 1**). By appropriate methodology to measure the indicators, monitoring should 1) provide the variance between actual and planned inputs, activities and outputs and 2) address any necessary actions to keep the project on track.

By assessing the following performance items, the monitoring report should include key findings and issues, recommendations, and supplementary information using the reporting template.

Table 2. Performance Items for Monitoring and indicators

	PERFORMANCE ITEMS FOR MONITORING	INDICATORS
INPUT	Ensuring that all project resources are available on time and in the right quantities and the use of allocated funds.	Measurement of the quantity and quality of resources provided for project activities (e.g. finance, authorities, human resources, training, equipment, materials, supplies, etc.)
ACTIVITIES	Ensuring that all planned activities are delivered on time in the most appropriate ways.	<ul style="list-style-type: none"> - Measurement of the appropriateness of applying project resources, following the plan (e.g. timing, quantities, quality, etc.) - Assessment of whether activities are leading to the expected outputs (e.g. technical assessment)
OUTPUT	Ensuring that all expected products or services are created or provided as planned.	<ul style="list-style-type: none"> - Measurement of the quantity or quality of products or services created or provided through the use of inputs (e.g. number or percentage of products, viability, knowledge, information, changes and benefit) - Analysis of intermediate factors (defined linkages between input and expected output)

3.1.3 Procedures

The PIU and the IC will carry out the monitoring based on the project operational plan and frame of the project logframe. (Please refer log frame).. as confirmed and approved by the MET and KfW. The activity-level monitoring, including field monitoring will be conducted by the PIU/IC., while the output-level monitoring based on the desk review of the project milestone indicators and field mission will be done by the PIU/IC.

As and when required by the PIU/PSC, IC and/or the KfW, on-site validation activity (field mission) may be conducted as part of the Donor's monitoring mission. In consultation with the PIU and IC will report its findings and recommendations at the KfW and PSC meeting to take further actions.

The PIU/IC monitoring team will prepare for a detailed monitoring plan and schedule, as referring to the checklist for monitoring (**Annex 2**) and will prepare monitoring reports before the half-year progress reporting.

After the field mission, the monitoring team will submit the monitoring report for consideration by the PIU/IC and PSC at its regular meeting using the template in **Annex 3**. Following-up actions of the monitoring will be decided at the PSC meeting to reflect feedback and improve the future project implementation.

3.1.4 Provisional steps of Monitoring

Table 3. Following the plan of the on-site validation, the monitoring will be conducted as follows:

STEPS	DETAILS
Step 1: Planning monitoring	<p>The monitoring team is expected to:</p> <ul style="list-style-type: none"> ■ develop a detailed monitoring plan (Annual) and schedule: <ul style="list-style-type: none"> - planning the overall schedule (date and venue) in consultation with PIU and IC team. ■ submit the monitoring plan to the PIU/IC.
Step 2: Performing monitoring	<p>The PIU national and field staff is expected to:</p> <ul style="list-style-type: none"> ■ conduct field monitoring if necessary to: <ul style="list-style-type: none"> - assess the project progress at the project site; - meet with project participants and stakeholders; - verify infrastructure and allocation and conditions of procurement items; and, - take photographs for the BACCP-II, III database. ■ conduct document review to: <ul style="list-style-type: none"> - check the project performance in terms of compliance with the annual plan; - check the issues to follow up at the last PSC meeting; - provide quantitative information to be expressed in numerical terms such as numbers and ratios, and qualitative information to be expressed through descriptive prose. ■ collect supplementary information (e.g. photos, videos, maps, documents, etc.) <p>The PAAs are expected to:</p> <ul style="list-style-type: none"> ■ provide necessary resources and logistics for meetings and field monitoring (e.g. meeting room, local transportation, etc.) ■ make presentations on the project progress to the PIU/IC team and provide supplementary information upon request from the PIU/IC team; ■ assure the presence of stakeholders and project participants for interviews, meetings or HH survey/beneficiary survey <p>The IC national and field team is expected to:</p> <ul style="list-style-type: none"> ■ support the PIU in performing monitoring ■ support in preparing progress monitoring reports and implementation of activities; ■ check that all monitoring plans and schedules are on track; ■ check that all monitoring activities are on track ■ make sure all supplementary information is collected and archived in the BACCP-II, III database (SharePoint) ■ provide technical consulting services on relevant topics;
Step 3. Reporting of the	<p>The monitoring team is expected to:</p> <ul style="list-style-type: none"> ■ complete the monitoring report (Annex 3) and submit it to the PIU/IC

monitoring results and following-up	<ul style="list-style-type: none"> ■ update on BACCP-II, III database ■ follow up issues requiring further actions <p>The PIU is expected to:</p> <ul style="list-style-type: none"> ■ follow-up on decisions made by the PSC/KFW <p>The IC is expected to:</p> <ul style="list-style-type: none"> ■ check that all monitoring activities are on track ■ Make sure all follow-up actions are taken on
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3.1.5 BZRF loan and livelihood support monitoring

Data supporting BZRF loans monitoring and livelihood support activity-related annual monitoring indicators can be collected either through a BACCP-II, III project's routine monitoring systems or through the specialized periodic BBSs. Because of the complexities involved in conducting BBSs, BACCP-II, III may want to collect data in BZRF monitoring indicators through routine monitoring systems.

BZRF data collected through routine monitoring will be undertaken by M&E staff, either concurrently with the implementation of project interventions (such as during herder group meetings or other local events/technical staff field visits to herder's home) or through regularly scheduled visits that are not undertaken concurrently with implementation of interventions but that coincide with key points in the livestock production cycles or annual livestock census.

The tables below show the suggested methods and tools for monitoring both BZRF loans and livelihood support.

ROLE AND RESPONSIBILITY MATRIX FOR BUFFER ZONE REVOLVING FUND

The MET with support from KfW, is intended to launch a BZRF concept to support pasture management and locals' livelihoods, encouraging the reduction of a number of livestock for keeping the proper pasture carrying capacity, through low-interest soft loan services within the 1st Phase of BACCP. The MET and KfW agreed to expand the BZRF implementation in the 2nd and 3rd Phases of BACCP and PIU/IC are preparing to implement the BZRF expanding its scope to Western PAs and 7 selected PAs of Component-3 of BACCPII/III. The table below shows the impact monitoring roles and key responsibilities by stakeholders.

Table: Stakeholders responsibility matrix

#	M&E TASKS AND ACTIVITY	FREQUENCY	STATE BANK	BUFFER ZONE COUNCIL	MET/PAA	Project Steering Committee	KFW	PIU M&E	IC M&E
1.	LOAN PROPOSAL MONITORING/ASSESSMENT	MONTHLY	R	R	C	I	I	C	C
2.	FINANCIAL/CREDIT ASSESSMENT OF THE BORROWER'S APPLICATION	MONTHLY	R/OLA-3.1.1	I	I	I	I	I	I
3.	LOAN RECIPIENT FINANCIAL AND ESMF COMPLIANCE MONITORING	REQUESTED	R/OLA-3.2.9	R/OLA-5.2.3	R/OLA-4.1.6	I	I	R	R
4.	LOAN BUDGET EXPENDITURE PERFORMANCE MONITORING	MONTHLY	R/OLA-3.2.9	I	C	I	I	R	R
5.	BUFFER ZONE REVOLVING FUND PROGRESS MONITORING	SEMI ANNUAL/ANNUAL	R/OLA	R	C/OLA-4.1.5	I	C	R	R
6.	PROGRESS FINANCIAL MONITORING REPORT	ANNUAL/REQUESTED	R/OLA-3.2.9	I	C	I	C	R	R
7.	PROGRESS PROCESS MONITORING REPORT		I	R/OLA-5.4.5					

Responsible	R	<i>The individual(s) responsible for the task or deliverable is typically responsible for developing or completing the activity.</i>
Accountable	A	<i>The accountable party is typically the person or group responsible for ensuring the work is complete and suitable.</i>
Consulted	C	<i>Consulted individuals are those from whom feedback and input should be solicited. Consulted individuals or groups should be consulted prior to starting a task or deliverable to understand the requirements, constraints, and risks as well as after completion to ensure every angle has been considered in the results.</i>
Informed	I	<i>Informed persons are those you want to keep in the loop. These individuals can be consulted or be a part of the decision-making.</i>
On lending agreement	OLA	<i>The objective of this Agreement is to establish the terms and conditions of the Buffer Zone Revolving Fund. This Agreement is made to determine the conditions for granting loans from BZRF and to regulate the relations of on-lending agreement.</i>

DEFINITIONS:

- **LOAN PROPOSAL MONITORING**-The State bank local branch and Buffer zone council will receive loan proposals from local residents including herder and non-herder households. The initial proposals are screened and verified by the Buffer zone council representative and State bank loan officer in accordance with the guideline and Environment and Social and other requirements and criterias set by the KfW, BACCP II, III.
- **CREDIT ASSESSMENT OF THE BORROWER'S APPLICATION**-The State Bank shall conduct a credit assessment of eligible borrowers endorsed by the BZC and make a decision to approve a proposed loan and shall bear the credit risk of any approved loan.
- **LOAN RECIPIENT FINANCIAL AND ESMF COMPLIANCE MONITORING**-The PIU/IC shall conduct compliance monitoring for selected loan receivers and to check activities in accordance with the ESMF categories and loan agreement guideline.
- **LOAN BUDGET EXPENDITURE PERFORMANCE MONITORING**-loan information and performance monitoring report provided by the State Bank and BZRF to the parties monthly in accordance with Bank statement and balance.
- **PROGRESS MONITORING REPORT**-Prepared by the State bank in accordance with the bank template.

The role of IC and PIU:

- Monitoring and confirming proper disbursement of loan and loan repayment status, and performance,
- Supporting and facilitating the monitoring and evaluation of pilot projects (loan beneficiaries) in sustainable pasture management as well as reducing number of livestock,
- Supporting and facilitating the impact monitoring of the livelihood improvement measures and the BZRF, and contributing to conceptual improvements,

Table 4. Methods and tools for BZRF and livelihood support monitoring.

	METHODS	DATA COLLECTION TOOLS	FREQUENCY	RESPONSIBLE PERSON
BZRF MONITORING	Quantitative and Qualitative methods	1. Beneficiary-based Household livelihood survey (Beneficiary-based survey/BBSs) See Annex -4	Baseline Mid-term End-term	BACCP-II, III PIU/IC M&E staff and field staff
		2. Key informant interviews and FGDs with BZC members and BZRF loan officers of State Bank Branches.	Semi-annually	BACCP-II, III PIU/IC M&E staff and field staff
		3. Client satisfaction small survey (randomly selected BZRF loan beneficiaries) See Annex-5	Annually	BACCP-II, III PIU/IC M&E staff and field staff
		4. Focus group discussion (randomly selected BZRF loan beneficiaries) See Annex-6	Annually	BACCP-II, III PIU/IC M&E staff and field staff
		5. Field observations	Semi-annually	BACCP-II, III PIU/IC M&E staff and field staff
LIVELIHOOD SUPPORTS MONITORING	Quantitative and Qualitative methods	1. Key informant interview with Soums` Governors	Annually during the field trips.	BACCP-II, III PIU/IC M&E staff and field staff
		2. Field observations	Semi-annually	BACCP-II, III PIU/IC M&E staff and field staff

BZRF monitoring

The State Bank has been selected and contracted as BZRF loans service provider in target areas of the BACCP-II, III project. The BZRF loans took advantage of the existing banking and credit system of the State Bank Branches in soums, which contributed its basic database for BZRF loans, against which modifications were made to fit in with the KFW and BACCP-II, III project requirements. The State Bank has created the

BZRF loan receivers database². The State bank soum branches have prepared and submitted information on disbursed loans, total outstanding loan balance, number of active borrowers' names, address and contact information; BZRF loan amount, loan duration, and purpose; and loan disbursement date and status. These data represent an effective tool for monitoring and evaluation.

The short-term consultant's observations show some good reason and necessitate conducting periodic **Beneficiary-based surveys (BBSs)** to collect these data that are not included in the State Bank database.

A brief introduction to Beneficiary-based Household livelihood survey (Beneficiary-based survey/BBSs)

Beneficiary-based Household livelihood surveys (Beneficiary-based surveys) are specialized periodic surveys conducted among the project's direct beneficiaries. BBSs will be conducted among project's direct beneficiary³ population samples. This contrasts with population-based surveys (PBSs), conducted among samples of the entire population living within a project's coverage area.

Typically, BBSs are used in project monitoring to ensure that project implementation is rolling out as expected, and that project interventions are on track for achieving their intended outcomes and targets in the direct beneficiary population. The results of such monitoring exercises can inform decisions about project strategies and make corrections to project components if monitoring data show that they are not on track.

Methodology

BBSs consist of a combination of qualitative and quantitative analytical methods. Quantitative data will be collected by a household questionnaire survey of beneficiaries and a beneficiary satisfaction survey in 22 selected soums of the Buffer zone of PAs⁴ (15 soums in the Western region and 7 soums in the selected 7 PAs for Component-3 of BACCP-II/III). Qualitative data will be collected mainly from desk studies of secondary information, field observation, individual interviews and the focus group interview with the direct beneficiaries, and representatives of all project stakeholders.

Undertaking a BBS entails several important activities, including as follows:

1. Designing the sampling plan
2. Drafting the survey questionnaire instruments to elicit data on the relevant indicators
3. Developing training materials and field procedure manuals
4. Recruiting and training data collectors
5. Managing the logistical and administrative aspects of the fieldwork
6. Implementing data collection
7. Managing data entry and cleaning as well as analysis of the survey data
8. Writing the survey report and presenting the survey results

Beneficiary registration systems as a source of sampling and monitoring

² Loan progress sheets of the State Bank (Jan 2023)

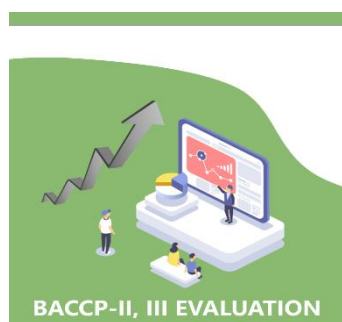
³ Direct beneficiaries come into direct contact with the set of interventions (micro-loans, goods, services and training) provided by the BACCP-II, III project in each selected soums (22 soums) of the Buffer zone of PAs. Individuals who receive loan from BZRF, training or benefit from project-supported technical assistance or service provision are considered direct beneficiaries. These should be distinguished from indirect beneficiaries (for instance, a neighbouring herder who observes technologies being applied by direct beneficiaries and elect to apply the technology themselves).

⁴ Terms of Reference for the "Consultancy for the expansion of the BZRF" in the buffer zone of Western regional protected areas and selected seven protected areas.

The State bank soum branches have created a system (excel-based) that registers all BZRF information on disbursed loans, total outstanding loan balance, number of borrowers and loan status. This database system will be an essential foundation for routine monitoring and evaluation. Also, an updated and well-managed registration system and monitoring database can help BACCP-II, III project stakeholders and partners, such as MET, KFW, PIU/IC and BZC to access and obtain the BZRF information at the same time and keep different partners on the same page about BZRF progress and problems.

Therefore, the BACCP-II,III projects must invest in improving and maintaining the registration system to track the BZRF progress and develop reliable and representative sampling frames to conduct BBSs.

3.2 Evaluation



3.2.1 Objective

The objective of project evaluation is to come up with findings and recommendations to guide or give advice on the implementation of the ongoing project for the remaining years. Through validation activities, the **evaluation** will also provide valuable/related recommendations regarding the formulation and implementation of new projects.

3.2.2 Evaluation criteria and indicators

Projects are analysed based on six key criteria (relevance, coherence, effectiveness, efficiency, overarching developmental impact and sustainability) agreed upon by the international community of donors as represented by the Development Assistance Committee (DAC) of the Organisation for Economic Cooperation and Development (OECD).⁵

The number of criteria will be decided based on the nature of the project, including its extent in terms of budget and implementation period and/or the requirements from the project donor (**Table 5**).

Table 5. Evaluation criteria and indicators

	EVALUATION CRITERIA	INDICATORS
RELEVANCE	Degree of the objectives of development projects satisfying the needs and priorities of beneficiaries and policies of donors and recipients.	To check if the Project remains relevant based on the priorities and policies of the target group, recipient and donor.
EFFECTIVENESS	Degree of the objectives of projects achieved.	To measure the extent to which an aid activity attains its objectives.
EFFICIENCY	Degree to which the costs of development projects can be rationalized against alternatives. In other words, the degree to which several inputs are economically used and	To measure the outputs – qualitative and quantitative – in relation to the inputs. It is an economic term used to assess the extent to which aid uses the least costly resources possible to achieve the desired results.

⁵ [Evaluation criteria | KfW Development Bank \(kfw-entwicklungsbank.de\)](https://www.kfw-entwicklungsbank.de)

	turned into outputs and results.	This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted.
IMPACT	Overall results of development projects' positive, negative, intended or unintended effects.	To see the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. To see the impacts and effects of the activity on the local social, economic, environmental and other development indicators. To find out external factors deriving unintended results and providing the positive and negative impact
SUSTAINABILITY	Possibility of a positive long-lasting effect after implementing an evaluation object policy or completing an evaluation object project.	To measure whether the benefits of an activity are likely to continue after donor funding has been withdrawn. To foresee environmental as well as financial sustainability.

3.2.3 Evaluation types

A particular approach and methodology should be adapted based on the three (3) types of conducting evaluation: mid-term, final and ex-post. When necessary, the Donor (KFW) or PSC can propose other types of evaluation (i.e. thematic evaluation for a group of projects).

The BACCP-II, III project evaluations will be undertaken in consideration of the project's donor, which generally includes mid-term and final evaluation. The composition of the evaluation team will be decided based on the total budget and project duration, among other considerations.

Mid-term evaluation/review

The main purpose of a mid-term evaluation is to draw conclusions and recommendations based on all factors relevant to the current implementation of the projects to improve the design and performance of planned or ongoing activities.

Mid-term evaluation/review is appropriate for 2024-2025 throughout the project's 7-year implementation period.

Consistent with the principles of result-based monitoring and evaluation, this type of evaluation will also be utilized to check and ensure that the accomplished and/or milestone outputs are leading to the achievement of project objectives and outcomes. From the mid-term evaluation, major revisions may also be considered to include cost cutting, reduction/addition of the project outputs and activities and components, and reallocating the budget across the activities.

Final or formative evaluation

The main purpose of the final evaluation is to determine how well the project achieved its intended objectives in terms of a summative evaluation after project implementation. From the final evaluation, the sustainability of the outputs and outcomes beyond the project will be carefully reviewed. At the same time, the best practices and lessons learned will be collected for future project development and implementation. The final evaluation will be conducted after EA and IC submit the draft project completion report to the PSC and KFW. Project end evaluation will be conducted externally (national research firm) in 2027.

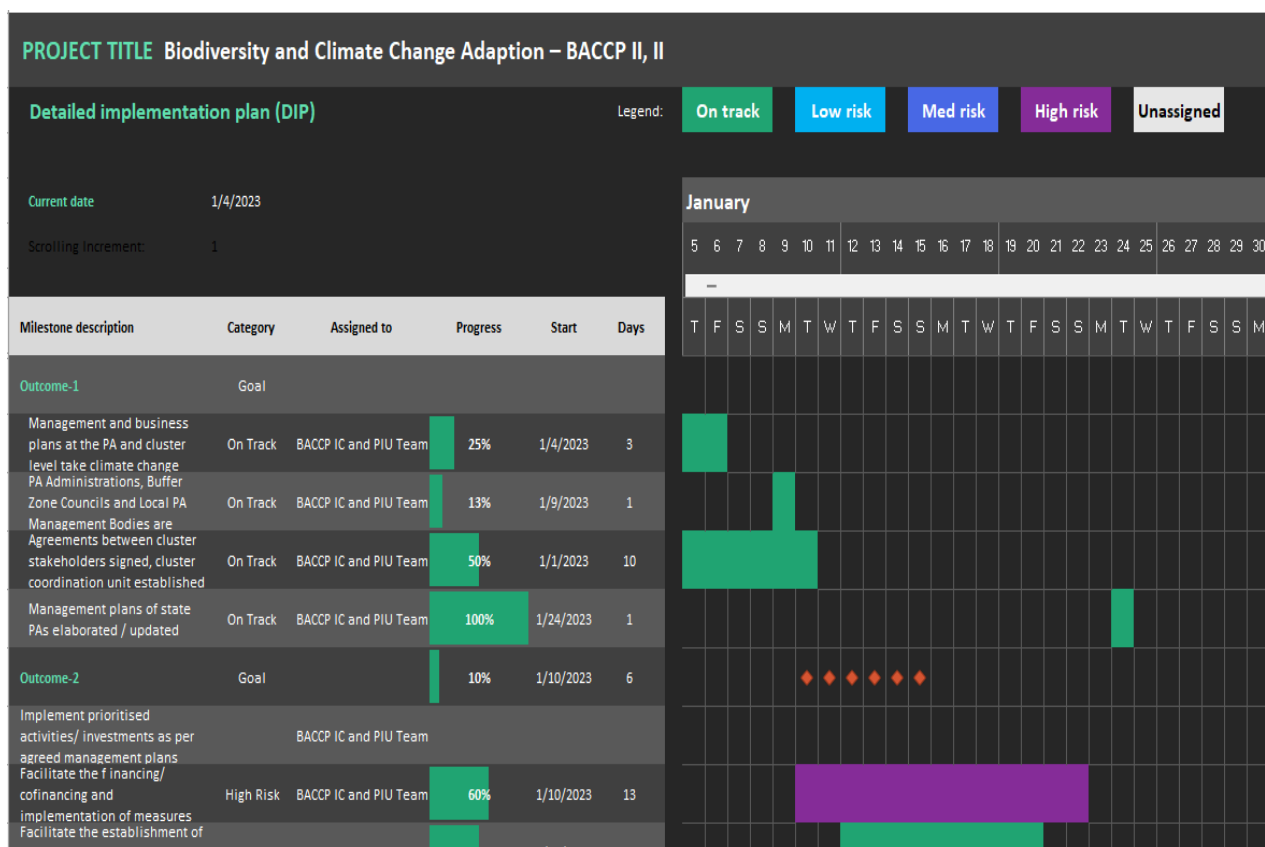
3.2.4 Provisional evaluation Steps

Table 6. Following the evaluation plan, the evaluation will be conducted as follows in four (4) steps:

STEPS	DETAILS
<p>Step 1: Planning the evaluation</p>	<p>The IC is expected to:</p> <ul style="list-style-type: none"> ■ set the basic direction and budget for evaluation at the planning stage of the project; ■ assist MET/PIU in executing tender procedures (preparation of tender documents, assessment of proposals, preparation of contract, etc..) and procurement; ■ facilitate the evaluation function in coordination with the project donor (KFW); ■ review the annual work plan and budget of the evaluation for each project component as submitted by PEA, and develop a consolidated and project-specific evaluation plan; ■ form an evaluation team and develop appropriate Terms of Reference for the evaluation team; ■ monitor the implementation of all project evaluation activities; <p>The evaluation team is expected to:</p> <ul style="list-style-type: none"> ■ develop a detailed evaluation plan and schedule; ■ formulate the evaluation criteria and indicators and methodologies; regarding pertinent project documents e.g. logical framework of the project proposal, and checklist for evaluation (Annex 9); and, ■ plan the overall schedule (date and venue) in consultation with PEA; ■ submit the evaluation plan to the PIU/IC before the mission; <p>The PEA is expected to:</p> <ul style="list-style-type: none"> ■ prepare required documentation ■ arrange necessary logistics ■ coordinate schedule and availability of project stakeholders/key informants
	<p>The evaluation team is expected to:</p> <ul style="list-style-type: none"> ■ review the project-based evaluation criteria, focusing on:

<p>Step 2. Performing evaluation – document review and discussion</p>	<ul style="list-style-type: none"> - achievements of the project outputs; - process of project formulation and implementation; - external factors affecting project implementation environmentally and socially - risks management of the project; and, - deviations from the original project design during implementation. <ul style="list-style-type: none"> ■ collect supplementary information (e.g. photos, videos, maps, policy documents, etc.) in consultation with the IC <p>The PEA is expected to:</p> <ul style="list-style-type: none"> ■ provide necessary resources and logistics (e.g. meeting room, interpreters, etc.) ■ provide project documents, reports and other project-relevant documents for prior- review ■ make presentations on the project progress to the evaluation team ■ provide supplementary information, upon request from the evaluation team <p>The IC is expected to:</p> <ul style="list-style-type: none"> ■ check all evaluation activities are on track ■ provide supplementary information, upon the request from the evaluation team ■ make sure all supplementary information is collected and archived them to the BACCP-II, III database
<p>Step 3. Performing evaluation – field visit</p>	<p>The evaluation team will:</p> <ul style="list-style-type: none"> ■ conduct orientation meeting with the PEA, IC and project stakeholders ■ assess and validate project progress/outputs including project issues and concerns at the field level ■ meet with project stakeholders and participants ■ collect supplementary information (e.g. photos, videos, maps, documents, etc.) ■ conduct exit meeting with the PEA, IC and project stakeholders <p>The PEA is expected to:</p> <ul style="list-style-type: none"> ■ provide logistic support to the project site(s) and when interviews are held with the stakeholders and other relevant personnel ■ assure the presence of stakeholders and/or project participants <p>The IC is expected to:</p> <ul style="list-style-type: none"> ■ check that all evaluation activities are on track
<p>Step 4. Reporting of the</p>	<p>The evaluation team is expected to:</p> <ul style="list-style-type: none"> ■ complete the evaluation report (Annex 10) and submit it to the Secretariat

<p>evaluation results and following-up</p>	<ul style="list-style-type: none"> ■ submit the collected data to the PEA and IC for an update on BACCP-II, III database <p>The PEA is expected to:</p> <ul style="list-style-type: none"> ■ report the evaluation mission to the PSC ■ follow-up issues requiring further actions from the PSC ■ take actions based on decisions made by the PSC and KFW. <p>The IC is expected to:</p> <ul style="list-style-type: none"> ■ assess the quality of the evaluation report to ensure that the report meets the evaluation scope, standards and expected deliverables based on the Terms of Reference, and other requirements ■ report and submit the evaluation report to the Project donor (KFW) and the PSC for further consideration <p>The Donor (KFW) is expected to:</p> <ul style="list-style-type: none"> ■ As necessary, make decisions relative to the recommendations emanating from the findings of the project evaluation ■ Guide follow-up actions after evaluation
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ANNEX-2. CHECKLIST FOR MONITORING MISSION

The following checklist contains a list of questions and actions that may guide the monitoring process. Not all questions and actions need to be considered/taken during the process.

CRITERIA	QUESTIONS TO BE CONSIDERED
INPUT	<ul style="list-style-type: none"> - Is finance available on time and in the right quantities and quality? - Is materials (procurement) available on time and in the right quantities and quality? - Are intangible inputs (e.g. human resources like staff qualifications, the supportive mood of the project team, logistical support) located and available in the right place? - Is there any shortfall in resources? If so, why? - Is there any disaggregated unit cost for activities compared to the other project sites? (Too expensive? Too cheap?) - Are there issues to respond providing early warning of the kinds of logistical challenges that may limit project effectiveness?
ACTIVITIES	<ul style="list-style-type: none"> - Are activities being implemented on schedule and within budget? - Are the scope of activities being implemented essential for the project's success? - Are activities targeted, what and where following the project document and annual work plan? - Are there any comments and opinions from project stakeholders and the BZ local people regarding project implementation? - Are there issues to respond providing early warning of the kinds of activity implementations that may limit project effectiveness? - Are there any issues which evaluation, excluding the planned ones?
OUTPUT	<ul style="list-style-type: none"> - Are activities leading to the expected outputs? - How do project beneficiaries feel about the work? - Are the range of current and expected outputs essential for the project's success? - Are there any difficulties in measuring the project outputs? - Are there any similar outputs in different projects? If so, any lessons-learned to recommend to address issues from the project? - Are projects having high potential to be replicated in the future? If so, why?

ANNEX-3. TEMPLATE FOR MONITORING REPORT

Monitoring Report

The monitoring report is intended to provide regular and timely updates on project implementation progress and identify any corrective actions needed for effective and efficient implementation of the BACCP-II, III project.

The following table of contents presents a sample list of items to be included in the monitoring report. However, adding or revising those items is recommended for more effective and transparent delivery of the monitoring results.

Project Profile	
Project Title	
Project Duration	Start date: End date:
Implementing Agency	
Project Site	
Main Objective	
Summary of Monitoring Report	
Monitoring Period	
Monitoring Site	
Monitoring Check Points	<ul style="list-style-type: none"> (To include key issues and constraints.)

	Signature	Date	Name/Title
Reporter	_____	_____	_____

	Signature	Date	Name/Title
Reporter	_____	_____	_____

Contents

Abbreviation & Acronyms

List of Tables

List of Figures

1. Purpose of the monitoring

2. Monitoring Scope and Methodology

3. Budget Estimates

4. Monitoring Schedule

5. Implementation status of project activities, based on the document review

6. Appendix

7. Purpose of the monitoring

(To cover the decision of the PSC regarding the monitoring and its Terms of Reference)

8. Monitoring scope and methodology

(To describe the activities undertaken for monitoring)

(To cover the specific methodology to check the input/progress/output of each project activity, follow the table below)

Activity No.	Activity	Performance Indicator	Monitoring Method	
			Quantitative	Qualitative

9. Findings and issues

(To list significant observations with an explicit description of the cause-effect relations and support evidence. Use of location map, photos, or graphical illustrations are highly recommended for better clarity.)

- Key findings and issues

(To cover the specific issues to be addressed)

- Implementation status of project activities (as of monitoring mission)

(To update the implementation status before the monitoring mission, through observation of each activity, based on the on-site verification, interview, etc.)

Activity no.	Activity description	Planned	Completed	Observation

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10. Supplementary information

(To provide any additional information not included in the sections above but relevant to overseeing the project progress. Optional. E.g. updated national policy, financial regulations on tax, operations and maintenance issues, other interviews of project-related personnel and/or reports of similar project theme, etc.)

11. Recommendations

(To describe and summarize general recommendations, in the narrative, based on the analysis of monitoring results.)

(To specify findings and recommendations from the monitoring in the table below.)

Activity No.	Activity	Recommended Follow-up actions	Responsible Person/Body	by when

12. Appendix

(To include photos-visual records of monitoring and any other relevant documents as to support the report)

ANNEX-4 BENEFICIARY-BASED HOUSEHOLD LIVELIHOOD SURVEY

Basic Information

1 Basic Information

Family Address: _____ Aimag/Province, _____ Soum, _____
 Bagh/Khoroo _____ Telephone number _____

Name	Name	Relationship with the interviewee Himself /Herself	Gender	Age	Education Level ⁶	Current Profession ⁷
1						
2						
3						
4						
5						
6						
7						

2 Family Financial Status

2.1 Tell us about your family income in 2022 (Currency: Mongolian MNT Tugrug)

	Wages	Agricultural Production ⁸	Business Operation ⁹	Income from Assets ¹⁰	Transferred Income ¹¹	Others (please describe)	Total Income
2022							
2023							
2024							

⁶ Education Level: (1) Primary school (2) Secondary school (3) Vocation College (5) Bachelor degree (6) Postgraduate degree (7) Illiterate (8) Not answered;

⁷ Current profession: (1) Full-time job (2) Migrant work (mining, etc) (3) Housewife (4) Herder (Producing agricultural products for sale or family consumption) (5) other (6) N/A (for kids under 16)

⁸ Agricultural Production: livestock/animal husbandry, vegetable gardening, forestry; Transferred Income: government subsidy, donations from relatives;

⁹ Business Operation: trading business, transportation etc;

¹⁰ Income from assets: Leasing houses, interest from bank savings;

¹¹ Transferred Income: government subsidy (child allowance etc.), donations from relatives.

2025							
2026							
2027							

2.2 How much money did you save in the bank in 2022__ MNT?

2.3 By the end of 2022, have you secured other loans besides the BZRF loan?

(1) Yes

(2) No

(3) Currently not, but plans to.

2.4 If yes, please fill out the following table

Loan time	Source of loan	Amount (MNT)	Usage of the loan	Length of loan	Interest rate	Paid off?	Remarks

ANNEX-5 CLIENT SATISFACTION SURVEY

(Randomly selected BZRF loan beneficiaries (at least 15% of total borrowers))

The questionnaire for beneficiaries will contain the following information:

1. Identification

1.1 Respondent's name and address;

1.2 Information about the borrowed loan (year, purpose, amount, periodicity of instalment, procedure, repayment, usage of loan, problems setting up a business, income generated from a business, rate of interest, details of any previous loan taken);

2. BZRF Loan

2.1 How much is the loan you obtained from the **BZRF** loan program? _____ MNT; When did you get the loan? _____ (If the answer is "0 MNT", cease work for this whole section)

2.2 How did you use the small loan?

Usage of loans	Pls tick the	Amount of money spent	explanation
	<input type="checkbox"/>		
Animal Breeding	<input type="checkbox"/>		
	<input type="checkbox"/>		
	<input type="checkbox"/>		
	<input type="checkbox"/>		
	<input type="checkbox"/>		
	<input type="checkbox"/>		
	<input type="checkbox"/>		

2.3 Have the activities you reported above improved your family income?

(1) Yes (2) No

2.4 How much if Yes, _____ MNT;

2.5 Did you reduce livestock numbers after you secured the B Z R F loan?

(1) Yes (2) No (3) Not answered;

2.6 Did you attach more importance to household financial management after you secured the BZRF loan?

(1) Yes (2) No (3) Not answered;

2.7 Did you attach more importance to BZ-friendly pasture management after you secured the BZRF loan?

(1) Yes (2) No (3) Not answered;

2.8 Did you join any self-help group or association (pasture group, forest use groups ect) after you secured the BZRF loan?

(1) Yes (2) No (3) Not answered;

2.9 From what source of income did you repay the loan

(1) Full-time job (2) Migrant work (3) Borrowed money (4) Agricultural/livestock products (Producing agricultural products for sale or for family consumption) (5) Others, please specify:

	Very satisfied	Satisfied	OK	Unsatisfied	Very unsatisfied
2.10 Are you satisfied with the BZRF loan delivery mechanism?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.11 Are you satisfied with the BZRF loan rate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.12 Are you satisfied with the BZRF loan term length?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.1 Were you under pressure to repay the BZRF loan?

- (1) Great pressure
- (2) Medium pressure
- (3) Pressure
- (4) Little Pressure
- (5) No pressure at all
- (6) Not answered

1.2 Are you willing to borrow loans from the BZRF again in the future?

- (1) Very willing to
- (2) Willing to
- (3) Medium willing to
- (4) Unwilling to
- (5) Very unwilling to
- (6) Not answered

1.3 Are you willing to recommend the Red Cross small loan to your friends and/or relatives?

- (1) Very willing to
- (2) Willing to
- (3) Medium willing to
- (4) Unwilling to
- (5) Very unwilling to
- (6) Not answered

1.4 Please list three major changes that the BZRF loan has brought to your family, soums and BZ/PA areas in your soum.

(1) _____

(2) _____

(3) _____

ANNEX-6 FOCUS GROUP DISCUSSION GUIDE

(randomly selected BZRF loan beneficiaries, (total 15 of borrowers))

General understanding of BZRF loans

- 1) BZRF loan purpose and objectives
- 2) BZRF loan procedure and rules
- 3) BZRF loan information dissemination/training
- 4) Loan size, interest rate and duration

Herder selection criteria

- 1) Initial selection criteria of BZRF Beneficiaries-BZC?
- 2) What are the criteria and standards for selecting the BZRF loan beneficiaries –State Bank?

Implementation

Please tell us the progress of the BZRF Loan program to date. Is it progressed as planned/anticipated?

- 1) Did the loan size, interest rate and duration meet the local situation and the wishes of local people?
- 2) The operation and flow of BZR fund.
- 3) Planned repayment rate? Actual repayment rate? Why the difference?
- 4) What are the major causes for overdue borrowers?
- 5) Loan application and approval procedures
- 6) BZRF loan introduction training – Did the herders attend related training? (Formal training: classroom teaching, one-on-one instruction; casual training: exchanges between herders, word to mouth) Please use examples:

BZRF Loan follow-up and monitoring

- 1) Is there a BZRF monitoring system in place or written? What are the roles of all PAAs, BZC and the State Bank loan officers?
- 2) After the herders received the loans, by whom and how were follow-up services or monitoring conducted?

Partner responsibility and specific tasks

- 1) In what way did the stakeholders (Herders, State Bank, BZC, PAAs, Soum/Bagh Governor and BACCP-II, II project team) arrive at a consensus in BZRF implementation, impact and decision-making?
- 2) How did the stakeholders (Herders, State Bank, BZC, PAAs, Soum/Bagh Governor and BACCP-II, II project team) implement the BZRF program? Was support from them obtained? Example:
- 3) What are the strengths and weaknesses of the BZRF loan program and its implementation?

Project Impact

- 1) How did this BZRF loan contribute to the PAAs, local economy, society, life, agricultural production resuming and development? Examples:
- 2) How did the project contribute to the sustainable livelihoods and pasture improvement of herders and citizens living in the buffer zones of PAs?

ANNEX-7 QUESTIONS TO ASK DURING AN INDIVIDUAL INTERVIEW WITH A BENEFICIARY FOR LIVELIHOOD SUPPORT.

The questions for beneficiaries will contain the following information:

1. Identification

- 1.1 Respondent's name and address;
- 1.2 Information about the received support

2. Training and equipment support

- 2.1 Have you received life skills, vocational or business development training/equipment from the BACCP-II, III or Buffer zone councils or soum governor?

2.2 If Yes, please tick where appropriate in the table below.

Topics of Training Courses		Tick if you have attended.
1	Livestock Breeding	
2	Fruit trees planting (seabuckthorn, apple etc)	
3	Vegetable planting	
	Small scaled wool processing	
Equipment name /type		Tick if you have received.
1	Livestock ... (example)	
2	Hay harvest machine (example)	
3	

- 2.3 Has the training/equipment helped improve your specialized skills? Give examples
- 2.4 Do you think that the training you attended improved your employment opportunity?
- 2.5 Do you think your income increased after the training/equipment?
(If Yes, how much? MNT;
- 2.6 If you are already engaged in small businesses or enterprises, pls give more details about you businesses or enterprises.
- 2.7 After the training/equipment, as compared with before, has the sales income of your enterprise or business increased, stayed the same or dropped?
- 2.8 Please Indicate the quality of tools and equipment you received. Do tools and equipment break down frequently? If so, are repair services and spare parts quickly available at reasonable prices?

ANNEX-8. TEMPLATE FOR TERMS OF REFERENCE (MID/END EVALUATION)

Terms of Reference

External Experts/Team for the BACCP-II, III Project [Mid/End Evaluation]

1. Background

By the Separate Agreement and decisions made at the project steering committee meeting, the PIU/IC developed an annual plan for project monitoring in [YEAR].

The objective of project monitoring is to [describe objectives based on the project M&E guidelines and Separate Agreement].

2. Profile of the project subject to project monitoring

- Project Title:
- Project number:
- Duration:[] years (Month Year - Month Year)
- Budget: EURO
- Project Executing Agency (PEA):

3. Evaluation team

TBD

4. Purpose and scope of work

The purposes of this project evaluation are to:

- Develop detailed methodologies, quantitative and qualitative, based on the criteria;
- Review relevant project documents, focusing on the criteria;
- Review the progress of implementation against the Project Document and annual work plan;
- Identify the implementation issues, their impact and plan to resolve them;
- Identify the relevance of the project against national policy and local circumstances;
- Collect supplementary information (e.g. photos, maps, documents, etc.);
- Verify the negative and positive issues based on the criteria; and,
- Identifying sustainability issues, if any, and future potentials;

The scope of work for the evaluation team is as follows:

- Development of an evaluation plan based on the information and materials provided by the PEA and IC;
- Conduct evaluation activities by document review, field visits to project sites, and meeting with stakeholders, including local people involved in the project;
- Collect and submit supplementary data (photos, videos, policy documents, etc.) to the PEA and IC; and
- Preparation and delivery of the evaluation report with key findings and recommendations.

5. Duration of consultancy

The duration for the consultancy services will commence upon signing of the contract and complete upon submission of the evaluation report.

6. Required expertise and criteria

The external expert must have the following expertise and criteria:

- Strong professional knowledge and background in biodiversity conservation and green development projects in Mongolia;
- Practical experience in review and analysis of project implementation;
- Fluent in English language skills;
- Good interpersonal skills, experience in public communication, and a good understanding of multicultural settings; and
- Adaptation to the flexible working environment.

7. Deliverables and timeline

Delivery date / time	Deliverables	Workload (day)
	Development of [mid/end evaluation] plan based on the information and materials provided by the EA and IC.	
	Field mission	
	Preparation and delivery of the [mid/end evaluation] report	
	Total working days	

ANNEX-9. CHECKLIST FOR EVALUATION MISSION

The following checklist contains a list of questions and actions that may guide the evaluation process. Not all questions and actions need to be considered/taken during the process.

CRITERIA	QUESTIONS TO BE CONSIDERED
RELEVANCE	<ol style="list-style-type: none"> 1) To what degree are the project goals still relevant? / How credible are the BACCP-II, III project goals? 2) Does the issue analysis back up the project identification results? Can the problem analysis validate the conclusions of the BACCP-II, III project identification? 3) Are the project's actions and outputs consistent with/relevant to the ultimate goal and achievement of the project objectives? 4) Are the project's actions and outputs consistent with/relevant to the projected consequences and outcomes? 5) Does the project conform to the BACCP's goals, strategic priorities, and Mongolia's national efforts in protected areas and associated sectors? 6) Is the project budget amount suitable for the project objectives? Is the expense of each activity appropriately allocated? 7) Is the project reasoning suitable based on studying the logical framework's linkages? 8) Are the outputs necessary and sufficient for achieving the project's specified goals? 9) Evaluate stakeholders' contributions to the BACCP-II, III project design. 10) Determine the project's ownership status. 11) Determine the commitment of stakeholders and partner agencies to the project. 12) Evaluate the project design's suitability/importance (vertical logic rationale; level of details; logic, indicators, verification means, assumptions; management of risks, etc.).
EFFECTIVENESS	<ol style="list-style-type: none"> 1) To what extent were the goals accomplished/are they likely to be met? 2) What were the significant elements that affected the success (or failure) of the objectives? 3) Are there more suitable technical, financial, or administrative alternatives that might increase the BACCP-II, III project's effectiveness? 4) Evaluate the project proposal's fundamental technical or scientific merit. 5) Evaluate the reasoning of the project proposal's relevance in accomplishing its goals. (This may entail critically reviewing its logical foundation and investigating external elements that may impact the project's success.) 6) Conduct a risk assessment and determine the likelihood of success. 7) Evaluate the efficiency of unexpected scenario management options compared to other viable alternative ways. 8) For current initiatives, evaluate the validity of the BACCP-II, III project design (This includes reviewing the logical framework and providing suggestions for revision when required.)
EFFICIENCY	<ol style="list-style-type: none"> 1) Were activities cost-efficient? Did the project activities achieve the expected outcomes with the minimum possible cost inputs? 2) Were objectives achieved on time? Were the BACCP-II, III project objectives

	<p>attained without delay?</p> <p>3) Was the chosen project implementation approach the most efficient available (compared to other alternative approaches)?</p> <p>4) Are the activities and related inputs essential and adequate in realizing the project's outputs?</p> <p>5) Assess the technical, financial and managerial aspects of project implementation. (These include the usage of norms, standards and rules associated with technical and administrative actions, coordination of project staff, organization of the project reports, accounting documents and data, etc.)</p> <p>6) Assess the allocation of inputs, including its timing and suitability, an indication of whether they are being provided on time and at the estimated costs; an indication of likely future trends in Inputs allocation considering the current situation; an indication of cost-effectiveness through the use of unit costs, comparative costs per beneficiary, etc;</p> <p>7) Assess the internal monitoring of the project.</p>
<p>IMPACT</p>	<p>8) What occurred as a consequence of the project, and why did it happen? What is the result of the project's implementation, and why has this occurred?</p> <p>9) How much impact has the activity had on the beneficiaries? What are the project's actual effects on the beneficiaries?</p> <p>10) Is a comprehensive awareness of the field or sub-sector concerned, as well as its major features, present? Is the field/sub-sector concerned, as well as its primary features, well understood?</p> <p>11) Is sufficient attention to environmental effecteffectstakeholders, including local community engagement and ownership? Have the project's environmental effect, BACCP-II, III project's stakeholders, including the BZ local community, and factors like participation and ownership been sufficiently considered?</p> <p>12) evaluation of the post-project position and particular circumstances of its intended direct or indirect beneficiaries in comparison to the pre-project status and expectations; evaluation of whether this post-project scenario is expected to develop further, in what direction, and over what duration; (Action) Contrast the pre-project and predicted results with the post-project and particular circumstances of the intended beneficiaries (both direct and indirect). Assess the potential of any changes occurring in the post-project condition, as well as the direction and duration of the change.</p> <p>13) evaluation of the success of the Project Specific Objective(s) and its contribution to the Development Objective; critical examination of the validity of the Assumptions stated; presentation of achievement indicators for each level of the Project parts.</p> <p>14) Evaluate the success of the project's particular goals and how it contributes to the development goal; critically examine the assumptions' validity; and provide the achievement indicators for each project element level.</p> <p>15) Evaluate any unexpected consequences (both detrimental and sound) and explain why they occurred.</p> <p>16) Evaluate the project's environmental implications and compare them to the projected impacts.</p> <p>17) Evaluate all linked or unrelated, negative or positive, repercussions of project execution on local communities.</p>

SUSTAINABILITY	<ol style="list-style-type: none"> 1) To what degree did the project's positive impacts continue after donor funding was no longer provided? 2) Which key factors influenced the fulfilment and non-fulfilment of project sustainability? 3) Will the results of the Project be sustainable, financially and in other ways? Can the sustainability of the project results be ensured financially and in other aspects? 4) elaboration on the availability of human resources and financial and institutional provisions to guarantee sustainability (Action) Explain in detail the availability of human resources and financial and institutional provisions to assure sustainability.
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Additional issues specifically for mid-term and end-term evaluations.

EVENTS	QUESTIONS TO BE CONSIDERED
MID-TERM EVALUATION	<ol style="list-style-type: none"> 1) Do the external events so far correspond to the BACCP-II, III project team's/developers' expectations? 2) Do their assumptions, in particular, seem to be valid? Why not, if not? Are the project team's/developers' assumptions still valid? If they are not, investigate why. 3) Has progress so far been in line with the implementation plan? Is it possible to restore or enhance the original Project track? What should be done if this is not the case? Is the project proceeding by the implementation schedule? If not, are there any steps that can be done to correct or improve the situation and get the project back on track? 4) Is the Project still viable in terms of its components and anticipated Outputs? Is there anything that needs to be changed? Are the project's particular aims and projected deliverables still justifiable? Is it required to make any modifications? 5) Is the project's budget and initial cost-effectiveness still appropriate? 6) Are the anticipated effects manifesting? What should be done if this is not the case? Are the project's expected results occurring? Is there anything that can be done if they aren't?
END-TERM EVALUATION	<p>What happened to the Project, and what challenges did it encounter?</p> <ol style="list-style-type: none"> 1) Were the inputs given on time, and were work timelines followed? 2) Did the predicted outputs occur? 3) What issues (if any) caused delays (if any), and what impact did this have on an implementation? Are there any issues that cause project delays, and what influence do these issues and delays have on the implementation process? 4) Was the project well managed and carried out? 5) Are the project's actual expenses compared to the budget provided? 6) Did the project's particular goals apply? 7) Have the project's specified goals been met? 8) Did these goals alter throughout the implementation process? 9) Were there any unexpected outcomes or consequences, either negative or

	<p>positive? Were there any unforeseen negative or positive outcomes or impacts?</p> <ol style="list-style-type: none">10) Who are the project's actual beneficiaries?11) Could the project's particular goals have been met at a lower cost or via a different project design?12) What are the most important lessons learned from the project's implementation?13) What are the good and negative variables that led to the project's success or failure?14) Does the project provide new difficulties or concerns that must be addressed while planning future interventions?15) What specific advice do you have for future comparable projects or for the continuation of the current one? Are there any suggestions obtained directly from the project that may help with the execution of similar projects in the future or the project's continuous operation?
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ANNEX-10. TEMPLATE FOR EVALUATION REPORT

(Mid-term/End-term) Evaluation Report

Project Profile	
Project Title	
Project Duration	Start date: End date:
Project Executing Agency	
Project Site	
Main Objective	
Budget and Source of Finance	Total: Euro/MNT _____
Summary of Evaluation Report	
Evaluation Period	
Evaluation Site	
Evaluation checkpoint	
	<ul style="list-style-type: none"> (To include key issues and constraints.)

	Signature	Date	Name/Title
Reporter	_____	_____	_____
Reporter	_____	_____	_____

ANNEX 11. HALF-YEAR PROGRESS REPORT TEMPLATE FOR PROCUREMENT AND FINANCIAL MANAGEMENT

Procurement management: Report the implementation of procurement activities during the reporting period as per the procurement plan.

Table 7. Implementation of Procurement of Goods

No.	Package	Status	Cost	Investment recipients
1.	Procurement of office furniture			
2.	Procurement of office vehicles			
3.	Procurement of equipment for PA			
4.	Other (specify)			

Table 8. Implementation of Procurement of Civil Works

No.	Package	Status	Cost	Investment recipients
1.	Construction of PAA Facilities			
2.	Construction of Information and Training Center Facilities			
3.	Rehabilitation of			

Table 9. Implementation of Procurement of Consultant Services:

No	Package	Status	Cost
1.	Procurement of Consultancy to undertake Baseline surveys and Research Studies		
2.	Procurement of Consultancy to develop and revise policy, legal documents and operation manuals etc		
3.	Etc		

Financial Management:

Summary of BACCP-II, III budget plan and expenditure for the six months

Description	Current reporting period			Cumulative to date			Remarks on Variances
	Actual	Budget	Variance	Actual	Budget	Variance	
Component 1:							
Activity 1.1							
Activity 1.2							
Component 2:							
Activity 2.1							

Activity 2.2							
Component 3:							
Activity 3.1							
Activity 3.2							
Component 4:							
Activity 3.1							
Activity 3.2							

ANNEX -12. M&E FRAMEWORK AND PLAN FOR BIODIVERSITY AND

CLIMATE CHANGE ADAPTION – BACCP II, III, LOGFRAME



Biodiversity and Climate Change Adaption – E

OBJECTIVES	INDICATORS AS PER THE LOGFRAME	HOW INDICATORS ARE MEASURED	UNIT	FREQUENCY	SOURCES	BASELINE	TARGET	PROGRESS
Overall objective/impact	Impact indicators							
Maintenance of biodiversity through protection and sustainable management of selected of protected areas/areas of high ecological value, taking climate change into account, and improvement of local livelihoods.	1. The share of the PA budget which is not provided by the Mongolian Government (MET budget) increases in x % of PAs by y% by 2025.	Obtained data from MET finance department. Budget increased data year by years.	XXX % percent age	Annually	Analysis provided http://shiledans.gov.mn/87&year=2018& www.legalinfo.gov.mn Data provided by MET and other ministries			
	2. The approach to improve the protection of larger geographical areas (clusters) as well their biodiversity through enhanced cooperation between PAAs and other interest groups as piloted by this programme is replicated or taken into consideration in Mongolia's laws, programmes and strategies for biodiversity conservation.	PAA management plans and National biodiversity program (2025) implementation . Number of laws and regulations amended.	Number	Beginning and end of project		Number of PA's management plans are updated, approved and implemented.	National laws and strategies for biodiversity conservation incorporate the protection of larger geographical landscapes and their biodiversity based on cooperation agreements	

	3. Economic activities that are based on the sustainable use of natural resources (tourism, forestry, agriculture etc.) contribute to an increase of y% of the income of x participating households in the programme area	Reported change in subjective wellbeing amongst the surveyed population due to programme livelihood support actions	Number of economic activities and increase of income by percentage.	Beginning and end of project	National statistical data Soum and aimag reports on Socio-economic status of the population Household Survey	TBD	y% (TBD on the basis of the baseline study)	
	4. In supported intervention areas populations of threatened or key species (flora/fauna) stabilise or increase	Population size of key and umbrella species (fauna/flora) increased.	Wildlife census and number of key species. Plant research data.	Beginning and end of project	Baseline, biosan database and wildlife census reports	Key umbrella species baseline survey has been done in 2022. High mountain rare plants survey has been completed in 2022.	Population of key species stabilized or increased.	
Project objective	Outcome indicators							
Contributing to the effective and sustainable management of prioritized areas of the Mongolian PA-System (incl. buffer zones and eco corridors) by MET, PAA, local administrations and communities and targeted promotion of sustainable/alternative livelihoods.	Indicator 1: Management Effectiveness The evaluation of the management effectiveness (METT) of the protected areas incorporated in the monitoring system confirms a continuous improvement.	Increase in METT scores (percentage points)	XXX % by percentage	Beginning and end of project	METT reports	xxx% (average of 2022)	>10% (by the end of programme implementation)	

	<p>Indicator 2: Forest and Pasture Area In accordance with the PA and buffer zone management plans increase in the forest and pasture area that is better protected and sustainably managed.</p>	Number of developed, improved and implemented management plans that take into consideration the protection and sustainability of the forest and pasture.	Number of management plans. Ha areas	Beginning and end of project	Baseline, biosan data and pasture/forest inventory reports.	TBD as part of a baseline study for all supported sites	according to respective management plans (average increase: >15%)	
	<p>Indicator 3: Livelihood Support At least 75% of sustainable livelihood (S/L) initiatives supported through the programme meet/ exceed their individual expected targets in terms of benefit generation and sustainable operations (to be illustrated in due course by case examples</p>	Number of sustained livelihood (S/L) initiatives supported through the project.	XXX percent age of initiative . Number of initiatives supported and sustained	End of the project	project monitoring annual/final reports	NA	At least 75 % initiative supported according to respective PA/BZ management plans	
Outputs	Output indicators							
Output-1	Management and business plans at the PA and cluster level take climate change adaptation requirements into account, are bindingly agreed upon by the respective stakeholders and are officially validated.	Number of agreed and validated management and business plans into take account on the climate change adaptation requirements.	Number	Annually	Project monitoring data and reports METT reports PA's reports	Target PA's management plans in place (as of November 2017), however a significant number of them expired in 2018. We assume that, there are no management plans are fully	XXX Protected areas management plans are updated/elaborated in accordance with the climate change adaptation requirements.	

and basic equipment is delivered throughout the PA network						updated in accordance with the climate change adaptation requirements.		
	PA Administrations, Buffer Zone Councils and Local PA Management Bodies are sufficiently equipped (basic equipment) to ensure adequate execution of their duties.	Number of PA Administrations , Buffer Zone Councils and Local PA Management Bodies are sufficiently equipped (basic equipment).	Number	Annually	Project monitoring data/reports, METT reports, PA's inventory registers	Equipment short falls TBD during planning phase	Gaps closed as per prioritised management planning	
Output-2 Management and business plans in five larger intervention areas/clusters are implemented	Key investments in PAs, Buffer Zones and eco-corridors of the participating clusters are realized.	Number of Pas, Buffer Zones and eco-corridors areas investing/applying in improved technology as a result of BACCP-2,3 assistance and investment.	Number	Annually	Project monitoring data/reports, METT reports, PA's inventory registers	No investment have been taken place	18 target PAA's supplied with key investment.	
	Activities prescribed in the Management and Business plans of the participating cluster are implemented.	Proportion/Number of fully implemented activities prescribed in the Protected Areas management plans.	Number of Buffer zone management plans implemented and supported	Annually	Project monitoring data and reports	0	TBD	

	Measures for protection and sustainable forest/pasture management are implemented in the limited use zones	Number of implemented measures for protection and sustainable forest/pasture management in PA limited use zone in pilot areas.	Number	Annually	Pasture and forest baseline studies carried out in 2022	Deeply look baseline survey reports.	TBD	
	Prioritised measures to support sustainable livelihoods in the Buffer zones are implemented.	Number of implemented measures to support sustainable livelihoods in the Buffer zones.	Number	Annually		No baseline/needs assessment needed.	TBD	
	Area of forests and wetland (measured in ha sustainably maintained as carbon sinks in the intervention area.	Size of forest area of affected by forest fire/pest. The area of wetland is protected and not dried out.	Ha	Annually	National hydro-meteorological institute data and reports	0	TBD	
Output-3 Individual management and business plans are updated/ elaborated and implemented in up to 7 PAs (selected on the basis of pre-defined criteria)	Outdated or missing management and business plans at the PA and Buffer zone updated/prepared.	Proportion/Number of updated/prepared management and business plans at the PA and Buffer zone.	Number	Annually	Project monitoring data and reports PA's reports	7 PA's have management plans in place (as of November 2017), 6 of them expire in 2022.	7 plans in selected PA are updated/elaborated.	
	Measures for protection and sustainable forest/pasture management are	Proportion/Number of fully implemented measures for protection and	Number	Annually	7 Protected areas management plans/annual	0	TBD	

implemented in PA limited use zone.	sustainable forest/pasture management in PA limited use zone.			PAA's reports.			
Activities prescribed in the management and business plans of the participating PAs are implemented.	Proportion/Number of fully implemented activities prescribed in the management plans.	Number	Annually	Protected areas management plans/annual PAA's reports.	METT study 2022	TBD	
Prioritized measures to support sustainable livelihoods in the Buffer zones are implemented.	Number of fully implemented measures to support sustainable livelihoods in the Buffer zones.		Annually	Project monitoring data and reports	No baseline required	Every target area pilot activity implemented	

<p>Output-4 Capacity development and public awareness measures for the entire PA network</p>	<p>Skills and capacities of selected staff have been upgraded according to needs and priorities identified by MET's prior gap assessment.</p>	<p>Proportion of surveyed staff (entire PA network) who show increased and upgraded knowledge and skills.</p>		<p>Annually</p>	<p>Pre and post training assessment report Knowledge and skills test/survey</p>	<p>0 (staff) Gaps/requirements as specified/prioritized by MET</p>	<p>The PA Department's training programme is implemented as per identified priorities. The Programme supports periodic round table meetings with critical stakeholders from conservation, politics, business, administration etc.; these may be linked with PR activities. Medium to high level conferences on conservation are supported on a need/ merit basis Outreach and awareness campaigns (different media) are planned and implemented</p>	
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ANNEX 14. ROLE AND RESPONSIBILITY MATRIX (RACI)

S/N	M&E tasks and activity	Frequency	PIU M&E Specialist	IC M&E Expert	Monitoring team	Field staff	PIU Management team	IC Management team	PSC	KFW
	Establishment of BACCP-II, III M&E systems									
	Establish a result-based monitoring and evaluation system;	1 st year of implementation	R	R		I	A	A	I	I
	Design reporting formats, baseline and impact assessment questionnaires	1 st year of implementation	R	R		I	A	A	I	I
	BACCP-II, III Routine monitoring									
	Project routine monitoring	Quarterly Sem-annually	R			R	A	A	I	I
	Construction/infrastructure supervision monitoring	At least twice before project completion but depending on the project implementation timeframe.	R	R		R	A	A	I	I
	ESMF Compliance monitoring	Semi-annually	R	R						C
	Buffer zone revolving fund monitoring (Loan recipient)	Semi-annually	R	R						C
	Direct investment fund monitoring	Semi-annually	R	R						C
	BACCP-II, III mid/end evaluation									
	Mid-term evaluation (external contractor)	End of project half-life (2024)	A	C		I	C	C	C	C
	End-term evaluation (external contractor)	End of the project life (2027)	A	C		I	C	C	C	C
	BACCP-II, III Baseline surveys									
	Livelihood Household Surveys	Mid-term and End term of the Project	A	A		I	C	C	I	I
	Baseline survey for Sustainable pasture management	Mid-term and End term of the Project	A	A		I	C	C	I	I
	Baseline survey for Sustainable forest management	Mid-term and End term of the Project	A	A		I	C	C	I	I
	Baseline survey for Biodiversity	Mid-term and End term of the Project	A	A		I	C	C	I	I
	BACCP-II, III Reporting									
	Annual planning and budgeting		R	R		R	R	R	C	C

	processes									
	Generate quarterly, annual and other progress reports	Quarterly Sem-annually	R	R		R	A	A	I	I
	Data input and storage M&E system	Ongoing	R	A		R	C	C	I	I
	Dissemination of information/ website	Ongoing	R	A		A	C	C	I	I
	Statement of expenditure (SOE)	Ongoing	C	C		I	R	A	I	I
	Interim financial reports	Ongoing	C	C		I	R	A	I	I
	Monitoring reports	Within seven days after the completion of such a mission	R	A		R	A	A	I	I
	Supervision engineer reports	Within 7 days after the completion of such a mission	R	A		R	A	A	I	I
	Capacity building and others									
	Capacity building of staff and other stakeholders on result-based monitoring and evaluation;		R	R		A	I	I	I	I

Responsible	R	<i>The individual(s) responsible for the task or deliverable is typically responsible for developing or completing the activity.</i>
Accountable	A	<i>The accountable party is typically the person or group responsible for ensuring the work is complete and suitable.</i>
Consulted	C	<i>Consulted individuals are those from whom feedback and input should be solicited. Consulted individuals or groups should be consulted prior to starting a task or deliverable to understand the requirements, constraints, and risks as well as after completion to ensure every angle has been considered in the results.</i>
Informed	I	<i>Informed persons are those you want to keep in the loop. These individuals can be consulted or be a part of the decision-making.</i>

ANNEX 15. BACCP-II, III IMPACT MONITORING SHEET¹²

Project lead organisation (please specify):				Project title (please specify):				
Describe the area covered by the project (e.g., different PA zones and any areas outside these zones):				Only for sub-projects with field interventions				
Project objective (please specify):				Number of households:		Number of people:		
Project start (DD/MM/YY):				Project end (DD/MM/YY):				
Below, when first preparing the impact monitoring sheet, list for each outcome the variable to be measured and add baseline and target values – all with units of measurement. Then start monitoring impact and, for each variable, at the time of re-assessment, fill in respective fields: Date of re-assessment and re-assessment value measured along with unit of measurement.								
No. of BACCP key indicator linked	Project outcome	Name of variable [unit of msmnt.]	Date assessed	Date re-assessed	Date re-assessed	Date re-assessed	Date re-assessed	Target date
			Baseline value [unit of msmnt.]	Re-Assessmt. 1 value [unit of msmnt.]	Re-Assessmt. 2 value [unit of msmnt.]	Re-Assessmt. 3 value [unit of msmnt.]	Re-Assessmt. 4 value [unit of msmnt.]	Target value [unit of msmnt.]
	Outcome 1:	VAR 1.1:	Date:	Date:	Date:	Date:	Date:	Date:
			Value:	Value:	Value:	Value:	Value:	Value:
		VAR 1.2:	Date:	Date:	Date:	Date:	Date:	Date:
			Value:	Value:	Value:	Value:	Value:	Value:
		VAR 1.3:	Date:	Date:	Date:	Date:	Date:	Date:
			Value:	Value:	Value:	Value:	Value:	Value:
	Outcome 2:	VAR 2.1:	Date:	Date:	Date:	Date:	Date:	Date:
			Value:	Value:	Value:	Value:	Value:	Value:
		VAR 2.2:	Date:	Date:	Date:	Date:	Date:	Date:
			Value:	Value:	Value:	Value:	Value:	Value:
		VAR 2.3:	Date:	Date:	Date:	Date:	Date:	Date:
			Value:	Value:	Value:	Value:	Value:	Value:

¹² The impact monitoring sheet was developed by Steffen Weidner International (Short-term Expert on Monitoring & Evaluation) and Osorjin Mendbaatar (National Short-term Expert on Monitoring & Evaluation)

