



# Flood Resilience in Ulaanbaatar Ger Areas

## Climate Change Adaptation through community-driven small-scale protective and basic-services interventions

**Inception Report**  
March 2019

**Implementing Entity:** UN Habitat  
**Project Execution Cost:** USD 393,593  
**Total Project Cost:** USD 4,143,094  
**Implementing Fee:** USD 352,141  
**Financing Requested:** USD 4,495,235  
**Online:** <https://www.adaptation-fund.org/document/proposal-for-mongolia-4/>

## Executive Summary

The project 'Flood Resilience in Ulaanbaatar Ger Areas (FRUGA)' was approved by the Adaptation Fund Board at its [31st/32nd Intersessional](#) board meeting, Board Decision Decision B.31-32/12 – 16 July 2018. In September 2018 UN-Habitat signed an agreement with the Adaptation Fund for Climate Change to implement the project. The official start date of the project was marked with the project inception workshop, which was held 28<sup>th</sup> of February 2019.

A Project Working Group was established through Ulaanbaatar City Mayor resolution No A/1055 dated 13 November 2018, co-chaired by the General Manager of Ulaanbaatar city and National Designed Officer for AF under the Ministry of Environment and Tourism and composed of heads of key departments and divisions of the Municipality and target districts as members of the working group.

The Inception Workshops of the project was organized at two levels: national and district. On 28 February 2019, the main workshop was conducted at the national level, inviting the national and city level stakeholders and interested parties. This was followed by 3 District level Inception Workshops in the target districts of Ulaanbaatar City, which were conducted on 15, 19 and 20 March 2019. The workshops were attended by a total of 237 (67 percent women) representations of the Ministry of Environment and Tourism, Ministry of Construction and Urban Development, Mayor's Office, Municipal Departments and target Districts and Khoroo; representatives of potential partners and interested parties including UN sister agencies, international communities, non-governmental organizations, individual experts and residents from flood prone areas attended the workshops and were consulted and informed on the project.

This inception workshop report provides information on the changes in the project document since AF approval, inception phase discussions with key partners, project management arrangements and project implementation, including M & E, risks management, environmental and social risks management and knowledge management. A one-page project brochure is included as **Annex 1**. A version with more details will be developed and will also be available in English. Annex 1 also includes feedback / inputs from workshop participants on the project.

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## 1. Project background and context

### 1.1. Introduction

Mongolia is set to be significantly impacted by the effects of climate change. Although milder climatic forecasts might bring some benefits to a country such as less harsh weather conditions, these are most likely to be outweighed by significant drawbacks for the country. As mean temperatures are to rise, secondary effects such as increases in extreme weather events become more likely.

Mongolia has a population of 3.03 million, growing at a rate of 1.7 percent annually. Almost half (47 percent) of the country's population is currently living in its capital city (1.38 million) and the share of the urban population has increased to 67 percent of the total population. Since the 1990s, Ulaanbaatar city (UB) has had limited formal extension of its core, which largely comprises apartment blocks with comprehensive utility services, including dedicated heating, water, and sanitation. However, successive waves of in-migration with Ger tents have reshaped the city's geography, with (i) little upgrading or extension of basic urban services; and (ii) government policy, since 2003, to grant each citizen about 700 square meters of land. A vast, low-density peri-urban area, commonly and collectively referred to as Ger areas, now extends around the city core- with three informal settlement tiers around the formal urban core area, the inner, middle, and fringe locations- these are characterized by unplanned settlements of low- and medium-income households with land ownership, un-serviced plots, unpaved roads and poor facilities. Settlement growth here is much faster than urban development and is projected to increase by another 40 percent by 2020. Although poverty is more pronounced in rural areas, inequality, particularly in access to various services, is higher in urban areas and especially in Ger areas where there are very low levels of public services available and very few households that are connected to the city's water distribution network.

The Ger area population is estimated at 800,000, representing 60 percent of Ulaanbaatar. Approximately 40,000-people migrate to UB city per year, of which most end up in Ger areas. Despite their size, Ger areas have until recently been considered temporary settlements. However, their official integration in the 2013 city master plan provides the necessary provision to plan the redevelopment of the Ger areas into a formal peri-urban area. Lack of long-term planning, infrastructure investment, and land use regulation in Ger areas have resulted in haphazard development, limited availability of space for public facilities, poor access to socioeconomic services and insufficient livelihood opportunities. The lack of basic urban infrastructure is preventing people to move out of poverty. The service gap between the city core and Ger areas means Ger residents are badly connected to the city core and poorly integrated in the urban economy, and this is one of the most urgent and difficult development challenges. While various government and development partner initiatives have significantly improved living conditions in Ger areas, approaches have generally focused on specific sectors, failing to design a sustainable vision and provide integrated solutions for the problems of peri-urban development.

In September 2018 UN-Habitat signed an agreement with the Adaptation Fund for Climate Change to implement the project on Flood Resilience in Ulaanbaatar Ger Areas (FRUGA) - Climate Change Adaptation through community-driven small-scale protective and basic services interventions – in the seven most vulnerable and high risk ger areas of Ulaanbaatar Mongolia. The project budget is USD 4.5 mln and will be implemented for 3 years.

The seven target Ger communities in Ulaanbaatar are characterized by a high exposure to multiple climate hazards ranging from wind and dust storms, air pollution, and particularly by floods - cited as the main climate issue that required addressing by the communities - during the rapid need's assessment. Climate sensitivity is underpinned by rapid urbanization and population growth, leading to people residing in high-risk areas, in unsanitary conditions engaging in unhygienic behaviour, which exacerbates public health risks. Underlying vulnerabilities are poverty, limited social ties, limited access to basic services, gender inequalities and environmental degradation. Moreover, the adaptive capacities at household, community and governance level are barriers for change as is the very limited knowledge and awareness of risks and their own vulnerability.

## 1.2. Project Objectives

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

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

## 1.3. Project Components

The main component of the project will be the provision of flood resilient physical infrastructure and services, building on the priorities as communicated by the Ulaanbaatar city authorities and Khoroo communities and evidence made available and supplemented with hazard and risk mapping and land use planning and delivered within the framework of enhanced capacities and awareness for resilience and risk reduction at Ger-district and community level.

Component 1: Producing hazard and risk information / evidence for increasing resilience and developing land use plans to increase this resilience at the city, District and Khoroo level.

This component will focus on reducing vulnerability to climate-related hazards and threats both at the city/town and community level by: developing one Ulaanbaatar northern Ger-Area (including the three high

risk target districts covering the seven most vulnerable khoros) Territorial Land Use Plan, with zoning, legal framework recommendations and a specific focus on flood risk reduction - building on a simulation model for forecasting future impacts of climate change flooding in UB city & Ger areas, to be developed through this project; and producing seven Land Use Plans with specific focus on flood risk reduction and building resilience of the most vulnerable areas and people. The information generated and included in the land use plans and simulation model will allow the municipality, district authorities and khoroo communities to understand climate change related impacts and risks and to identify appropriate, community specific resilience interventions based on this information.

Component 2: Participative planning and capacity development for flood resilience in Ger areas at the district / khoroo and community level (including activities to operate and maintain - and mitigate any potential risks related to - the interventions under component 3).

This component aims at fully involving communities in the planning and execution of the proposed interventions under component 3; to ensure the proper operation and maintenance (and implementation of potential risk mitigation measures) of these interventions through community involvement. Under component 3, Khoros communities will be directly contracted to execute the concrete interventions. The Khoros communities will develop plans to execute these interventions, including management and maintenance arrangements. In parallel with these plans, technical engineering and hydrology studies will be conducted to ensure the assets are properly designed. To ensure inhabitants are aware of the key issues and risks (including environmental and social risks of interventions) in their communities and to be able to respond to these issues and risks, awareness raising campaigns will be set-up and trainings conducted.

Component 3: Enhance resilience of community level flood protection assets

During the rapid Khoroo-level vulnerability assessment, prioritization and vulnerable groups consultations, communities identified and confirmed two main concrete resilience building interventions: improved drainage systems to reduce floods and improved sanitation systems that won't overflow during floods and lead to health issues. Thus, these interventions have been selected to respond to the most pressing Khoroo-specific climate change hazards. As this would be the first time to implement the Peoples Process in some of the proposed Ger areas it is critical that the local authorities and communities are exposed to the rigorous and complex combination of implementation and monitoring approaches and guidelines that will be put in place; from technical compliance and quality to management accountability, transparency and safe-guarding the rights-based approach of the People's Process. An international advisory technical team, familiar with the roll-out of the People's Process closely working with the national execution team to adapt the approach to suit the local context, – with all its' cultural, community, institutional and legal dynamics - will be critical to ensure the success of the implementation.

Component 4: Awareness raising, knowledge management and communications

This component will strengthen urban-level institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses, especially related to floods and ensure the project implementation is fully transparent, all stakeholders are informed of products and results and have access to these for replication. This is done by capturing lessons learned and best practices regarding flood-resilient urban community development and distribute these to other communities, civil society, and policy-makers in government appropriate mechanisms, and conducting trainings to city and district government officials on replication of climate-induced risk (flood) adaptation interventions and process for other vulnerable locations/hazards in Ger areas.

## 2. Changes in the project document since AF approval

### 2.1. Proposed Revisions to the Project Implementation Arrangement

The project is started and being implemented by UN-Habitat as an integral part of the UN-Habitat Mongolia Country Programme with inputs from the UN-Habitat Climate Change in Cities Initiative via the Regional Office for Asia and the Pacific, through establishment of the Project Implementing Unit (PIU).

UN-Habitat envisaged in the proposal that it will engage the UNOPS for the execution of the hardware components for climate adaptation in the Ger areas, harnessing their operational capacity to deliver technical infrastructure outputs as done in other countries in Asia Pacific through establishment of a Project Execution Unit (PEU). As the negotiation to engage the UNOPS for the Component 3 implementation as planned in the proposal has taken longer than expected, UN-Habitat has decided to go for an open selection of an Executing Partner. The TORs for the Executing Partner has been finalized and the Call for Proposal was advertised on 21 March 2019.

The PEU which is responsible for day-to-day project implementation activities will be established after the selection of the Executing Partner.

### 2.2. Revisions to Project Budget

The proposed budget will be revisited and revised when an Executing Partner will be selected based on the selected partner's work modalities and preferences. The budget will need to be discussed and approved by the Project Working Group (PWG). An overview of the project components, work plan and budget is provided in annex 2.

## 3. Inception phase discussions

### 3.1. Project Working Group Establishment

The inception phase discussions started after the contract signing between AF and UN-Habitat. UN-Habitat Country Office had meetings in October 2018 with NDO for AF at the Ministry of Environment and

Tourism and General Manager of Ulaanbaatar City and consulted on the preparatory activities before the official start of the project.

The General Manager of Ulaanbaatar city suggested to establish a Project Working Group instead of Project Advisory Committee proposed in the project proposal as per the national and local governments' working practices with the projects and programmes. The UN-Habitat Project Implementing team accepted the suggestion. The Mayor of Ulaanbaatar city established a Project Working Group to support the FRUGA project implementation through his resolution No A/1055 dated on 13 November 2018 co-chaired by the General Manager of Ulaanbaatar city and National Designated Officer for AF under the Ministry of Environment and Tourism and composed of heads of key departments and divisions of the Municipality and target districts as members of the working group. Please refer to Annex 3 for the resolution of the Mayor of Ulaanbaatar to establish a FRUGA Working Group.

In March 2019 during the inception workshops at the district level, the participants suggested and agreed to have a sub-working group under each District Governor's Office instead of one Project Coordination Team under the MUB to support the project implementation at the district and khoroo level chaired by the District Deputy Governor and composed of specialists from the key district divisions and target Khoroo Governors. The project organigram has been updated reflecting the suggested changes for the PAC and PCT.

The Terms of References of the working groups will be discussed and finalized during the first meeting of the Project Working Group (PWG) in April 2019. The PWG also will review the work plan for the 1<sup>st</sup> year, including budget, illustrated in Annex 2 during the first meeting. Some small adjustments are proposed, including adding sludge management activities to project component 3 to support a sustainable resilient latrine system. The preliminary agenda of the 1<sup>st</sup> PWG meeting is to discuss the following:

- a) The Project Working Group Terms of Reference
- b) The project Governance Framework
- c) The ToRs for contracting executing partners.
- d) The Project 1<sup>st</sup> year work plan, including budget
- e) The Project monitoring framework and plan
- f) The Project Risks Management Framework
- g) The Project Environmental, Social, Gender and Youth (ESGY) strategy
- h) The Project Knowledge Management, Advocacy and Communications Strategy

## 3.2. Inception Workshop Summary

The Inception Workshops have been held in 2 levels. The main workshop was conducted on 28 February 2019 at the national level inviting the national and city level stakeholders and interested parties at the Blue Sky Hotel of Ulaanbaatar city. This was followed by 3 District level Inception Workshops at the target districts of Ulaanbaatar City which were conducted on 15, 19 and 20 March 2019 respectively. In total,

237 (67% women) representations of the Ministry of Environment and Tourism, Ministry of Construction and Urban Development, Mayor's Office, Municipal Departments and target Districts and Khoroo; representatives of potential partners and interested parties including UN sister agencies, international communities, non-governmental organizations, individual experts and residents from flood prone areas attended the workshops and were consulted and informed on the project. The inception workshop at the national level was attended by 54 (57.4 percent women) while the workshop in Songino-khairkhan district by 54 (74 percent women), in Sukhbaatar by 83 (67.5 percent women) and Bayanzurkh was attended by 46 (70 percent women) participants.

The National level workshop was opened by Mr. T.Gantumur, General Manager of Ulaanbaatar City and Head of Mayor's Office (Chair of the Project Working Group) and Ms. Sh.Enkhtsetseg, National Project Manager of the project.

In the 1<sup>st</sup> session, an overview of the project, including project objectives, activities and the project area was presented and discussed. In the 2<sup>nd</sup> session, the project management modality was presented and discussed, including the organization structure, roles and responsibilities and start up activities. In the 3<sup>rd</sup> session, the project monitoring & evaluation framework was presented and discussed, including the monitoring framework / indicators, the risk management framework, the environmental, social, gender and youth (ESGY) strategy and the knowledge management, advocacy and communications strategy. The workshop was concluded by Ms. Sh.Enkhtsetseg, National Project Manager of the project. In all sessions, feedback was requested. 5 groups of local media and TV were invited to the workshop for the project visibility and public awareness raising. The TV interviews with Mr. T.Gantumur, General Manager of Ulaanbaatar City and Head of Mayor's Office, Ms. Sh.Enkhtsetseg, National Project Manager and target khoroo governors were published on the local news sites and TV.

**Figure 1. Photos during the national workshop**





## Inception Workshops at the District level

The Inception Workshops at the district level have been held on 15, 19 and 20 March 2019 at the Songino-khairkhan, Sukhbaatar and Bayanzurkh Districts respectively. The workshop in Songino-khairkhan district was attended by 54 (74 percent women), in Sukhbaatar by 83 (67.5 percent women) and Bayanzurkh by 46 (70% women) participants composed of district governors, officials and specialists from relevant divisions including the flood and drainage facilities, emergency management, land management, health and hygiene and governors, officers and communities from target khoros.

The district level workshops were organized with 2 main sessions. The project objectives, components, implementation arrangements and preliminary work plan were introduced during the first session to the audience. This was followed by the question and answer sub-session and the participants were responded to their questions.

The second session was dedicated to introducing how the beneficiary communities will be involved in the project and what will be the roles of the khoroo officers and kheseq leaders. The focus of the question and

answer sub-session after the presentation was to identify parallel, coming or planned activities with the similar purposes with the project in the target khoros. During the session the communities and khoroo officers raised questions on the ways of potential immediate supports from the project for the mitigation of the present pressing flooding issues in the target khoros. At least in 3 of the 7 target khoros, some households are living in waterlogged areas from unprecedented fountains, which popped up in their plots all of a sudden. The project team agreed to visit with them the areas and see what they can do.

**Figure 2: district-level inception workshop**



### 3.3. Post-workshop meetings, activities and discussions

The below activities for the project were planned and consulted as start-up activities of the project from March-June 2019 during the inception workshops:

- March/May: selection of executing partners through preparation of ToRs, call for proposal, evaluation and selection and award of contracts with the aim to start activities under component 1 and 2 in May 2019, including community organization, field assessments, etc.
- April: the first meeting of PWG
- March/April: Start the community mobilization activities at the target khoros
- March/April: Start the mapping of households to be targeted under the toilet improvement activities under Output 3
- March/April: Development of the People's Process Manual
- April/May: Conduct a workshop to identify and agree on the most suitable toilet solutions for the household use in the target khoros with consultation and participation of target communities and sector experts
- May: training on implementation modality and on People's Process Operational Manual for project

After the inception workshops, the UN-Habitat Project Implementing team had a meeting with the General Manager of Ulaanbaatar city and his team and agreed to have the first PWG meeting in early April 2019.

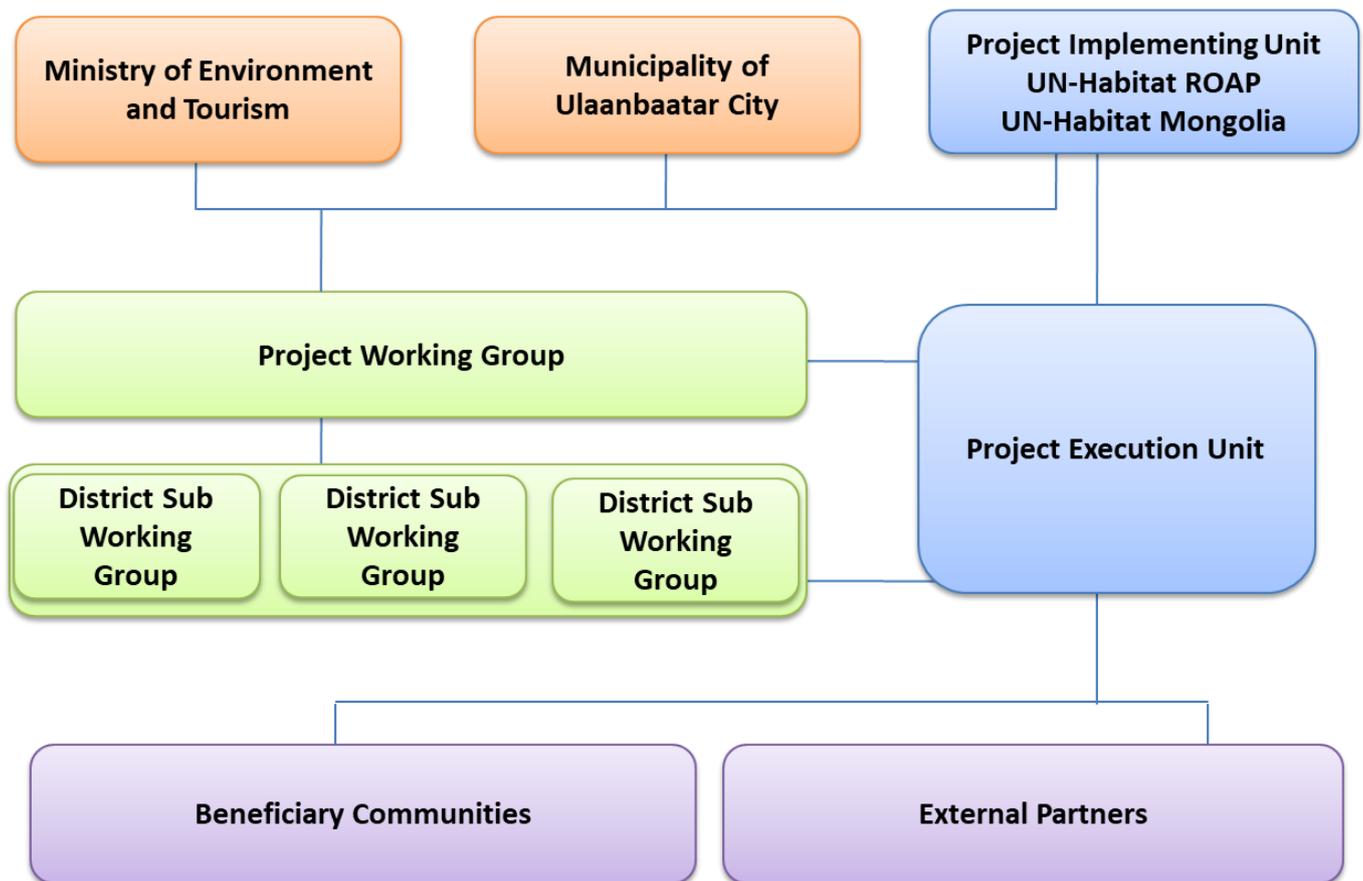
The project implementing team had consultations with the Meteorology and Hydrology Department under the Ministry of Environment and Tourism and Land Department of the Ulaanbaatar City on preparation of the Terms of references for project Output 1. Based on the consultations, TORs for the Output1 have been finalized and are being reviewed by the UN-Habitat ROAP for preparation of the Call for Proposals.

The TORs for selection of an Implementing partner for the delivery of the Output 3 have been finalized and advertised on UN-Habitat websites.

## 4. Project management arrangements

### 4.1. Implementation arrangements/Management Organization

Figure 3. Project Organigram



The organigram of the Implementation arrangement proposed in the project proposal has been reviewed and updated with establishment of the PWG at the city level and sub-working groups in the target Districts level. Please refer to the organigram below.

## 4.2. Roles and Responsibilities

The TORs of the Project Working Group (PWG) and Sub-working Groups at the district (SWG) will be discussed and approved by the PWG at its first meeting scheduled in early April 2019.

The Ministry of Environment and Tourism is the key custodian of the Project and will retain oversight and provide policy guidance through its role as co-chair of the Project Working Group (PWG).

The Municipality of Ulaanbaatar city will be the main city level Executing Entity with joint-custodianship of all 'soft' knowledge products generated to support the resilience building of urban Ger areas along with the MoET, and directly benefit from all the project components. The Municipality will provide all necessary support and information for the successful implementation of the Project, including the establishment of the Project Working Group (PWG) at the city level co-chaired by the MoET and Sub-Working Groups (SWG) at the target district levels.

### **Project Implementing Unit**

The project implementing unit composed of an International Project Manager at the UN-Habitat Regional Office for Asia and the Pacific, a national project manager at the UN-Habitat Country Office in Ulaanbaatar and 2 drivers was established under the UN-Habitat.

### **Project Executing Unit**

The project executing unit will be established once the EP is selected.

## 5. Project implementation

### 5.1. Work Planning and Budgeting

The Workplan for 2019 has been updated, considering that the start date has been moved to the 28<sup>th</sup> of February 2019 (Inception Workshop) after UN-Habitat and the AF signed the project approval agreement in September 2018 to commence the project. **Annex 2** illustrates the 1<sup>st</sup> year workplan, including budget.

### 5.2. Monitoring, evaluation and reporting

A complete monitoring framework and plan can be found under **Annex 4**.

The project monitoring framework is currently comprised of four interrelated monitoring elements:

- The core indicator framework of the Adaptation Fund is directly related to the Performance Reporting. All key stakeholders have been made aware of the reporting requirements and methodologies.
- The Adaptation Fund Project Performance Reporting framework of the Adaptation Fund. All key stakeholders have been made aware of the document and the related requirements. Reporting

requirements include results-based monitoring, financial monitoring, procurement monitoring and risk monitoring.

- The Environmental, Social, Gender and Youth framework comes with an independent monitoring framework. Outcomes of this framework feed into the performance reporting.
- The Knowledge Management, Advocacy and Communications Strategy comes with an action plan, clear deliverables and a monitoring framework. Most, but not all outputs directly relate to the Project Performance Reporting report.

## 5.3. Major Risks and Operating Constraints and Management Strategies

During the inception workshop, feedback was requested (through discussion during the meeting and by e-mail) to all attendees on project financial and management risks identified in the project proposal document. The following suggestions / adjustments were made:

- There will be only two short construction seasons during the project (summer 2020 and summer 2021).

Mitigation measure: preparations, including getting permits and having detailed engineering designs should start in summer 2019.

- Potential Financial risk: selection of company that does not deliver high quality / standard of drainage channel.

Mitigation measure: use track record from UN, NGOs, ADB and municipality.

The PWG will further review the risks management framework during the PWG meeting in April 2019. The latest version of the framework (from inputs inception workshop) can be found in **Annex 5**.

## 5.4. Environmental and Social Risks Management

The ESGY Strategy demonstrates compliance of the project and activities with the Environmental and Social safeguards Policy (ESP) and the Gender Policy (GP) of the Adaptation Fund. Furthermore, the project also complies with the Environmental and Social Safeguards Policy of UN-Habitat and all applicable domestic and international laws. It includes a management and governance approach for the integration and mainstreaming of ESGY to manage and mitigate potential risks and to unlock human rights, gender and climate change awareness opportunities across all project activities and overall project management. The ESGY Strategy sets out the project's drive to be gender, youth, human rights and environmental/climate change transformative.

As part of the project preparation, a project activities screening took place to identify potential environmental and social risks and co-benefits and opportunities and assessed the possible impacts. The results are presented in the complete strategy in annex 6. The PWG will review the ESGY during the PWG meeting in April 2019.

During the inception workshop, feedback was requested (through discussion during the meeting and by e-mail) to all attendees on potential project environmental and social risks.

The PWG will further review the Environmental, Social, Gender and Youth (ESGY) strategy during the PWG meeting in April 2019. A presentation of the principles will be given (was also done during inception workshop) to all participants. The screening report of all project activities under outcome areas 1, 2, 3 and 4 will also be presented.

The latest version of the ESGY Strategy is attached as **Annex 6**.

## 5.5. Knowledge Management, Advocacy and Communications

The Knowledge Management, Advocacy and Communication Strategy (KMAC) lays out the strategic framework specific to this project and the work plan to be adopted by all project team members and executing partners. Adhering to this strategic framework and work plan will facilitate the effective coordination of resources and efforts at all stages of the project execution, monitoring and evaluation.

The objective is to enhance knowledge, communication and understanding of climate change impacts, especially flooding, and adaptation options in Ulaanbaatar, facilitating replicability at the community, local government, national and international level. Furthermore, the KMACS strategy seeks to ensure that project implementation is fully transparent. This entails that all stakeholders are informed of products and results and have access to these for replication.

On the one hand, knowledge management aims to capture, process and consolidate knowledge on climate change adaptation actions in Ulaanbaatar effectively, facilitating improved knowledge sharing. On the other hand, Advocacy & Communication aims to ensure increased visibility and understanding of project activities, results and lessons learned through efficient dissemination of knowledge (products). Both components are integrated and complement each other. However, whilst the advocacy and communications component complement KM, it also goes beyond this to serve a broader advocacy purpose on the issues pertaining to community vulnerabilities and adaptation to climate change, both locally and internationally. During the inception workshop, feedback was requested (through discussion during the meeting and by e-mail) to all attendees on the knowledge management, advocacy and communications needs and requirements.

All target audiences and beneficiaries are considered, including: local communities, district and municipal administration, ministries, project stakeholders, Project Working Group, UN Country Team, NGOs and UN-Habitat (Country Office, Regional Office and Headquarters).

Outputs for Knowledge Management include knowledge products, tools, reporting and data management, and outputs for Advocacy and Communication include print material, social media, online presence, branding, press, media and communications and audio-visual presence.

Knowledge Management and Advocacy and Communication will be an integral part of all activities and as such, all task managers must contribute to the successful roll-out of the KMASC. The knowledge management officer will provide a basic capacity development and support to the project team as well as the project manager. Feedback mechanisms will ensure the successful implementation and maximum benefit of the strategy. The complete strategy is included in **Annex 7**.

## Annexes (separate documents)

1. AF Mongolia Project Brochure and feedback / inputs from workshop participants on the project
2. AF Mongolia Project components, work plan and budget (to be approved by PWG)
3. AF Mongolia Ulaanbaatar Mayor's resolution to establish a project working group
4. AF Mongolia Monitoring framework and plan (to be approved by PWG)
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8. Inception workshop minutes



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