UB Solid Waste Modernisation

Livelihood Restoration Plan

March 24th, 2020
<table>
<thead>
<tr>
<th>Document Title</th>
<th>UB Solid Waste Modernisation: Livelihood Restoration Plan</th>
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<tbody>
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<td>Date</td>
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<td>Signature</td>
<td>By email</td>
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<th>Acronym</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADB</td>
<td>Asian Development Bank</td>
</tr>
<tr>
<td>BZD</td>
<td>Bayanzurkh District</td>
</tr>
<tr>
<td>CDW</td>
<td>Construction and Demolition Waste</td>
</tr>
<tr>
<td>DA</td>
<td>Development Alliance</td>
</tr>
<tr>
<td>EBRD</td>
<td>European Bank for Reconstruction and Development</td>
</tr>
<tr>
<td>IETC</td>
<td>United Nations International Environmental Technology Centre</td>
</tr>
<tr>
<td>JICA</td>
<td>Japan International Cooperation Agency</td>
</tr>
<tr>
<td>KOICA</td>
<td>Korean International Cooperation Agency</td>
</tr>
<tr>
<td>LCDS</td>
<td>Landscaping and Cleaning Service Department</td>
</tr>
<tr>
<td>LRP</td>
<td>Livelihood Restoration Plan</td>
</tr>
<tr>
<td>MDDS</td>
<td>Moringiin Davaa Dump Site</td>
</tr>
<tr>
<td>MNRA</td>
<td>Mongolian National Recycling Association</td>
</tr>
<tr>
<td>NEDS</td>
<td>Narangiin Enger Dump Site</td>
</tr>
<tr>
<td>PIU</td>
<td>Project Implementation Unit</td>
</tr>
<tr>
<td>PR</td>
<td>Performance Requirement</td>
</tr>
<tr>
<td>TDDS</td>
<td>Tsagaan Davaa Dump Site</td>
</tr>
<tr>
<td>UB</td>
<td>Ulaanbaatar</td>
</tr>
</tbody>
</table>
1 Introduction

The City of Ulaanbaatar is preparing to implement the Ulaanbaatar Solid Waste Modernization Project aimed at improving solid waste management in the city. The European Bank for Reconstruction and Development (EBRD) and City of Ulaanbaatar signed a Project Agreement in June 2018 to support the city to implement this project. The Project will be implemented by a Project Implementation Unit (PIU) comprising representatives from the City Governor’s and Mayor’s offices with expertise in waste management and project implementation and the Landscaping and Cleaning Service Department (LCSD) of the City of Ulaanbaatar. The PIU will receive technical and procurement support from a PIU Consultant, appointed in September 2019 (CECT).

An environmental and social impact assessment is being undertaken for the Project, by Cowi International. Support to the PIU is also likely to be provided to assist with the implementation of this Livelihood Restoration Plan.

The Project will comprise the expansion of landfill capacity and the creation of a Construction and Demolition Waste (CDW) recycling plant at the Moringiin Davaa Dump Site (MDDS), located in south-west Ulaanbaatar. A Project Report on the Landfill Facility (ERM, 2016) identified a number of people collecting waste at the waste dump site for their livelihoods. At times, a small number of people have also been identified as residing on the dump site. When the Project is implemented, waste picker access to the dump site is expected to be prohibited, affecting the source of their livelihoods and requiring any waste pickers resident on the dump to move to a new location. The redirection of all construction and demolition waste to MDDS is also expected to generate some impact on the livelihoods of waste pickers at Narangiin Enger Dump Site (NEDS) and Tsagaan Davaa Dump Site (TDDS). In accordance with EBRD’s Environmental and Social Policy of 2014, in cases of economic and physical displacement generated by the Project, measures should be put in place to restore or, where possible, improve livelihoods for those economically displaced and improve standards of living for those physically displaced.

This document, the Livelihood Restoration Plan (LRP), has been developed to assess the Project’s impacts on informal waste pickers and buyers and to define the applicable entitlements and eligibility criteria. It builds on the principles outlined in the Livelihood Restoration Framework (LRF) prepared for the Project in 2017 while also incorporating data and stakeholder feedback collected in 2019. The LRP has been developed in accordance with Mongolian legislation and EBRD Performance Requirement 5 (Land Acquisition, Involuntary Resettlement and Economic Displacement).

1.1 Project Description

The UB Waste Modernization Project (46581) has been designed to provide finance for the Government of Mongolia to finance priority solid waste investments in the city of Ulaanbaatar. These improvements include both the expansion of landfill capacity and the creation of a CDW recycling plant. The planned location for this project is adjacent to the MDDS, located approximately 18km southwest of Ulaanbaatar city.
Three landfills serve Ulaanbaatar: NEDS, TDDS and MDDS, located in the northwest, northeast and southwest of Ulaanbaatar respectively (Figure 1-1). MDDS is the smallest of the three landfills, receiving approximately 400 tonnes of waste daily in 2015, compared to 1,700 tonnes at Narangiin Enger, and 1,200 tonnes at Tsagaan Davaa (ERM, 2016).

Figure 1-1 Landfill Sites in Ulaanbaatar

Rapid population growth in Ulaanbaatar (an increase from 773,000 in 2000 to 1.3 million in 2012) led to increasing levels of solid waste generation within the city. It is estimated that of the solid waste disposed in landfills in 2015 (ERM, 2016), 52% is derived from households and the ger district, 40% from business entities, and 8% from roads and streets. In addition to the population increase, the level of solid waste being generated is also increasing due to an increased volume of construction waste as older buildings in the city centre are replaced with modern constructions. The combination of these factors is shortening the lifespan of the three landfill facilities.

The three landfills are managed by the Landscaping and Cleaning Service Department (LCSD) of the City of Ulaanbaatar. Waste pickers work on all three landfill sites. The total number of waste pickers across the three sites is estimated by LCSD in 2019 to be around 370 people (150 each at NEDS and TDDS and 70 at MDDS)\(^1\).

The MDDS is located in Khoroo 12 of the Khan-Uul District of Ulaanbaatar, and the nearest Ger area of Khan-Uul, Khoroo 12, is approximately 1.2 km north and 1.4km west of the site, with the nearest household 700m to the northwest of the site (Figure 1-2 and Figure 1-3).

\(^1\) LCSD, personal communications (August 2019)
The MDDS was established in 1970, and formalised into a municipal waste facility in 2009, with an improvement programme in 2011. The Waste Modernization project will entail the development of a new landfill area and the establishment of a CDW Recycling plant, as seen in Figure 1-4. The waste modernisation project for MDDS is being managed as two separate projects, each of which is described below.
1.1 New Landfill

Limited documentation exists from the early years of MDDS operation and as such, it was considered more appropriate to build a new landfill facility 100m to the east of the existing landfill rather than expanding and improving the current facility. The scope of the new landfill includes the following facilities:

- Soil embankment around the landfill;
- Leachate pond and leachate water control piping;
- Administrative office;
• Machine shop;
• Heavy machines and vehicles;
• Biogas collection piping; and
• Supporting infrastructure for site operations: water, power and heating.

The planned new landfill site has a construction schedule of 36 months (12 months actual construction time spread across three years due to weather restrictions for construction in Ulaanbaatar), during which time the site will be prepared and a 10m embankment will be constructed, and a leachate extraction system and required infrastructure will be developed. The amount of waste reporting to the MDDS is was expected to increase significantly from 2021 onwards when NEDS was originally scheduled to commence closure, and as such, two phases of waste management activity had been defined: pre 2021 and 2021 onwards. The resourcing allocation outlined below was prepared in 2016 and will need to be updated by the PIU upon commencement of the Project. In 2016 it was assumed that in the pre-2021 (phase 1) period, a workforce of 35 people is anticipated, and post 2021 (phase 2) the workforce is expected to increase to 44 people. It is understood that the 35 people in the pre 2021 period will include the existing workforce of 12 people at MDDS.

Table 1-1 Resourcing for Landfill Site Operation - Pre 2021

<table>
<thead>
<tr>
<th>Item</th>
<th>Specification</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plant Manager</td>
<td>Manager</td>
<td>1</td>
</tr>
<tr>
<td>Plant Finance/Accounting</td>
<td>General finance and accounting skill</td>
<td>1</td>
</tr>
<tr>
<td>Plant Admin</td>
<td>Familiar with PC operation, MS Word, MS Excel</td>
<td>1</td>
</tr>
<tr>
<td>Plant Quality Assurance</td>
<td>Waste Management Specialist</td>
<td>1</td>
</tr>
<tr>
<td>Plant weight bridge</td>
<td>Familiar with PC operation</td>
<td>1</td>
</tr>
<tr>
<td>Machine Operator</td>
<td>Driving license, Heavy equipment</td>
<td>9</td>
</tr>
<tr>
<td>Machine Operator (Assistant)</td>
<td>Driving license, Heavy equipment</td>
<td>5</td>
</tr>
<tr>
<td>Machine shop repair</td>
<td>Leader; General mechanical skill</td>
<td>2</td>
</tr>
<tr>
<td>Machine shop repair</td>
<td>Assistant</td>
<td>1</td>
</tr>
<tr>
<td>Truck Driver</td>
<td>Driving license</td>
<td>4</td>
</tr>
<tr>
<td>Truck Assistant</td>
<td>Waste picker</td>
<td>1</td>
</tr>
<tr>
<td>Waste Picker</td>
<td>-</td>
<td>6</td>
</tr>
<tr>
<td>Plant Staff</td>
<td>-</td>
<td>2</td>
</tr>
<tr>
<td>Initial /One Month Total</td>
<td></td>
<td>35</td>
</tr>
</tbody>
</table>

1.2 Construction and Demolition Waste Plant

Construction and demolition waste is currently being dumped across all three dump sites with the only recycling activity being that which is undertaken by waste pickers.

2 At the time of the preparation of the LRF it was expected that NEDS would close in 2020. The timing for closure has now pushed back due to reduced waste volumes being generated in the city and a gradual closure is anticipated.
The level of construction and demolition waste is projected to increase significantly in coming years due to the age of old apartment blocks in Ulaanbaatar City and the planned replacement of these buildings with newer constructions. The project scope includes the following:

- Processing plant of the recycling facility with a capacity of 90-120 t/hr;
- Manual sorting area;
- Large debris demolition area;
- Administrative offices;
- Leachate pond or rain water storage pond;
- Ancillary facilities such as a machine shop, waste stock and weigh bridge; and
- Stockpile yard (4ha)

Upon completion of the CDW recycling plant, it is assumed that all construction and demolition waste in Ulaanbaatar will be sent to the MDDS facility. The project has a construction schedule of 11 months. Operational workforce estimates have been developed by the Project engineers indicating a total workforce of 16 (Table 1-2). It is unclear in the resource schedule provided who would undertake the manual sorting activities at the CDW. It is also unclear whether sorting of any non-CDW recyclable material will occur (e.g. glass, cans, plastics, etc).

<table>
<thead>
<tr>
<th>Item</th>
<th>Specification</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CDW Plant Operation</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Machine Operator</td>
<td>Processing machine,</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>General Engineering skill</td>
<td></td>
</tr>
<tr>
<td>Truck Driver</td>
<td>Driving license</td>
<td>2</td>
</tr>
<tr>
<td>Truck Assistant</td>
<td>-</td>
<td>1</td>
</tr>
<tr>
<td><strong>CDW Demolition Site</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Machine Operator</td>
<td>Processing machine,</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>General Engineering skill</td>
<td></td>
</tr>
<tr>
<td>Machine Operator (Assistant)</td>
<td>Processing machine,</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>General Engineering skill</td>
<td></td>
</tr>
<tr>
<td>Truck Driver</td>
<td>Driving license</td>
<td>2</td>
</tr>
<tr>
<td>Truck Assistant</td>
<td>-</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td>16</td>
</tr>
</tbody>
</table>

2 Project Impacts

The Waste Modernization Project anticipates the expansion of existing landfill capacity and the construction of a CDW plant adjacent to the MDDS in Ulaanbaatar. The Project is in the early stages of design and as such, there is a limited definition of project impacts. The impacts defined below have been identified based upon physical inspection of the Project site, discussions with Project consultants, engagement with LCSD project specialists, discussion with social specialists working on waste modernization projects in other countries and engagement with EBRD’s social specialists. This LRP is being prepared prior to the appointment of the Project
Implementation Unit (PIU) Consultants and will need to be updated after further Project
definition is generated by the PIU Consultants. A European-Union compliant
Environmental and Social Impact Assessment (ESIA) is also being prepared for the
Project, with work commencing in Q3 2019.

Access to the MDDS facility is expected to be restricted as part of the modernisation
project. For the purposes of this LRP, it has been assumed that, based on advice from
EBRD, an EU-compliant waste facility will require all waste picking activities to cease,
with waste pickers not being able to access any part of the new facility. While access
to the existing site is not expected to be curtailed, it will cease to be a source of income
once waste is no longer delivered to this site. The only means by which waste pickers
can gain access to the new site will be if waste pickers gain employment with LCSD as
a formal worker for either the new landfill or the recycling plant.

It should be noted that at present, waste pickers are responsible for recycling activities
in Ulaanbaatar. While the development of the CDW Recycling Plant is intended to
reduce the amount of construction and demolition waste being unnecessarily landfilled,
and increase recycling within this waste stream, the access restrictions for waste pickers
will likely lead to an unintentional reduction in the level of recycling of all non-CDW
waste streams, as well as negatively impacting the livelihoods of waste pickers and
waste buyers.

### 2.1 Displacement Impacts

The development of the two project components (CDW recycling plant, and the new
landfill) are expected to primarily generate economic displacement impacts for waste
pickers at MDDS, TED and NEDS, with potential physical displacement impacts for a
small number of MDDS waste pickers. Waste buyers from MDDS are also expected
to experience some level of economic displacement. The types of potential
displacement and eligibility conditions are summarised in Table 2-1.

<table>
<thead>
<tr>
<th>Displacement Category</th>
<th>Type of displacement / impact of loss</th>
<th>Impact source and category</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Physical displacement – permanent loss of informal shelter at MDDS</td>
<td>Prohibition of access to MDDS will make it necessary for any waste pickers resident on the dump site at the time of the census to find an alternate residential location.</td>
</tr>
<tr>
<td>B</td>
<td>Physical displacement – permanent loss of residential ger or house</td>
<td>Land acquisition required to develop the footprint of the new landfill cell.</td>
</tr>
<tr>
<td>C</td>
<td>Economic Displacement – loss of waste picker access to MDDS leading to loss of income</td>
<td>Prohibition of access to MDDS will require all waste pickers to find an alternative livelihood activity.</td>
</tr>
<tr>
<td>D</td>
<td>Economic displacement – loss of construction and demolition waste from NEDS and TDDS reducing income levels for waste pickers at those sites</td>
<td>Redirection of all CDW to the new CDW recycling plant at MDDS will reduce the potential income of waste pickers working at NEDS and TDDS as they will no longer be able to collect and sell scrap metal.</td>
</tr>
</tbody>
</table>
Economic displacement – loss of business opportunity to purchase waste from waste pickers at MDDS and potential default of waste pickers on loans taken from waste buyers, The cessation of waste picking activities at MDDS will reduce and / or result in the cessation of business activities by waste buyers purchasing waste from MDDS. In addition, waste buyers may experience significant loan default from waste pickers.

These potential categories of impact were investigated during the course of fieldwork conducted on site in August 2017 and again in August 2019. Findings from the fieldwork informed the definition of anticipated impacts provided in Table 2-2. The number of affected individuals / households is clearly fluid and will need to be validated through additional and repeat baseline data collection exercises immediately prior to the cessation of access.

Table 2-2 Summary of Anticipated Displacement Impacts

<table>
<thead>
<tr>
<th>Category</th>
<th>Type of displacement / impact of loss</th>
<th>Impact source and category</th>
<th>Number of Affected Individuals (August 2017)</th>
<th>Number of Affected Individuals (August 2019)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Physical displacement – permanent loss of informal shelter at MDDS</td>
<td>Prohibition of access to MDDS will make it necessary for any waste pickers resident on the dump site at the time of the census to find an alternate residential location.</td>
<td>5 individuals (4 households)</td>
<td>None (although one individual flagged as potentially sleeping on the dump site by other waste pickers)</td>
</tr>
<tr>
<td>B</td>
<td>Physical displacement – permanent loss of residential ger</td>
<td>Land acquisition required to develop the footprint of the new landfill cell.</td>
<td>No private land within the project area. No gers or houses will be affected by the project footprint expansion. This will need to be monitored to ensure encroachment does not occur prior to the development of the footprint expansion.</td>
<td>No impact.</td>
</tr>
<tr>
<td>C</td>
<td>Economic Displacement – loss of access to MDDS leading to loss of income</td>
<td>Prohibition of access to MDDS will require all waste pickers to find an alternative livelihood activity.</td>
<td>69 individuals (51 waste picker households) were identified as picking waste at MDDS in August 2017. It could reasonably be expected that this figure could under-predict the total number of waste pickers working at MDDS during different times of the year by approximately 20%. On this basis, a waste picker population of 83 individuals (61 waste picker households) could be anticipated. This will need to be validated through additional baseline survey data collected over regular time intervals.</td>
<td>54 individuals (31 waste picker households) were known to be working as waste pickers (of whom 51 were interviewed) at MDDS in August 2019. Assuming a 20% contingency on this figure would generate an estimate of 65 waste pickers (37 waste picker households). This will need to be validated through additional baseline survey data collected over regular time intervals, including winter periods.</td>
</tr>
<tr>
<td>D</td>
<td>Economic displacement – loss of construction and demolition waste from NEDS and TDDS reducing income levels for waste pickers at those sites</td>
<td>Redirection of all CDW to the new CDW recycling plant at MDDS will reduce the potential income of waste pickers working at NEDS and TDDS as they will no longer be able to collect and sell scrap metal.</td>
<td>Unknown at the time.</td>
<td>The total number of waste pickers working at NEDS and TDDS is estimated by LCSD to be 300. No further definition or accuracy is anticipated prior to the implementation of this Project.</td>
</tr>
</tbody>
</table>
3 Minimising Resettlement and Economic Displacement

The Project has sought to minimise physical and economic displacement impacts through its design, as can be seen in the following examples:

- The new landfill facility is being constructed in close proximity to the existing waste dump site, and it is understood that no private land parcels will need to be acquired. The landfill cannot be placed directly on top of the existing dump site due to a lack of information about the structural base of the existing dump.
- The CDW recycling plant will be constructed within the footprint of the existing MDDS facility, minimising additional land take.
- The Project will offer preferential employment opportunities in the CDW recycling facility and at the modernised landfill facility to waste pickers, where possible.

As noted in Section 2, the greatest impact to be generated by the Project relates to the economic displacement of waste pickers due to a loss of access to the dump site. While other waste facilities in Ulaanbaatar have maintained waste picker access post-modernisation (e.g. NEDS), it is understood that an EU compliant waste facility will require all waste picking activities to cease, with waste pickers no longer being able to access any part of the new facility. As such, reducing economic displacement through maintaining waste picker access to MDDS is not understood to be a realistic option for the Project.

4 Objectives and Principles

The objectives of this Livelihood Restoration Plan include:

- Identification of the economic displacement impacts (and physical displacement impacts if applicable) associated with the Solid Waste Modernization Project;
- Identification of affected persons; and
- Provision of a detailed plan for compensation and livelihood restoration for affected persons.

The LRP has been developed based on the following principles:

- Compensation is intended to restore, or potentially improve, the standards of living and / or the livelihoods of displaced persons to pre-displacement levels. Given the high levels of pre-existing vulnerability within the waste picker community, livelihood restoration measures should seek to reduce vulnerability where possible;
• Compensation should be paid at full replacement cost, as applicable;
• Standards for compensation should be transparent and consistent across the Project;
• Economically displaced persons should be provided transitional support, as necessary, based on a reasonable estimate of the time required to restore their income-earning capacity;
• Opportunities should be provided to displaced persons to derive appropriate development benefits from the Project;
• Affected persons should have access to an effective grievance mechanism as early in the process as possible;
• Livelihood restoration monitoring will be undertaken to monitor the effectiveness of measures to identify the requirement for any additional measures in the future; and
• The Project developer will be held responsible to demonstrate best reasonable efforts have been applied to restore the livelihoods of waste pickers. Where livelihoods have not been restored due to a gap in LRP implementation or design, the Developer will be responsible to address this gap / design flaw within the three years of Project implementation. Where livelihoods have not been restored for reasons outside of the Developer’s control, evidence of multiple attempts at appropriate engagement with affected waste pickers to support them to restore their livelihoods will need to be demonstrated, after which period the Developer will no longer be held accountable for the restoration of livelihoods. All responsibility for livelihood restoration is anticipated to terminate upon completion of the Project (a period of approximately three years).

5 Socio-Economic Baseline

5.1 Methodology
The socio-economic baseline presented in this LRP has been developed through a combination of primary and secondary data collection. Data on Khan-Uul District and Khoroo 12 Sub-District were primarily gathered through secondary sources, such as the National Statistics Office of Mongolia (www.1212.mn), whereas data on waste pickers active in the MDDS was collected through primary sources. Baseline data collection surveys were undertaken at MDDS between July 31st – August 2017 and again between August 5th – 13th 2019. In both surveys, data was collected through the use of individual surveys with the intention of achieving 100% coverage of waste pickers present at the MDDS during the data collection period. Data was also collected from NEDS and TDDS using a modified survey form between August 7-8th 2019.

<table>
<thead>
<tr>
<th>Activity / Indicator</th>
<th>MDDS 2017</th>
<th>MDDS 2019</th>
<th>NEDS 2019</th>
<th>TDDS 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td># of surveys conducted</td>
<td>56</td>
<td>31</td>
<td>8</td>
<td>10</td>
</tr>
<tr>
<td># of waste pickers surveyed</td>
<td>69 (out of an estimated 71 waste pickers)</td>
<td>51 (out of an estimated 54 waste pickers)</td>
<td>10</td>
<td>14</td>
</tr>
</tbody>
</table>
# of waste buyers surveyed

<table>
<thead>
<tr>
<th>Present at the time</th>
<th>Present at the time</th>
<th>Present at the time</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 (out of 3 waste buyers)</td>
<td>1 (out of 3 families (4 individuals))</td>
<td>1</td>
</tr>
</tbody>
</table>

## 5.2 National Socio-Economic Overview

Mongolia experienced significant economic growth over the past 25 years, resulting in three times the level of GDP, increasing school enrolments and declining child and maternal mortality. The economy is heavily dependent on mining and agriculture (more than 20% of the GDP is derived from mining alone) making it vulnerable to changes in commodity prices. Mongolia experienced a number of boom years following 2010, during which time the level of poverty reduced. A slow-down of the non-mining economy between 2014-16 resulted in an increase in national poverty rates (back to 2012 levels), however household income trends seen in 2017 – 2018 H1 are indicative of a more recent positive trend in poverty levels.


With a Human Development Index (HDI) value of 0.741 in 2017, Mongolia is considered a high human development country. The per capita gross national income was recorded as USD 10,103 at purchasing power parity (PPP) in 2017. Poverty levels have reduced in the past decade, however progress has been varied within that time period. Poverty levels within Ulaanbaatar have historically been lower than the national average (Figure 5-2) however analysis of the 2018 poverty data by the World Bank and the National Statistics Office (NSO) indicated a shift in the location of poverty from rural to urban areas, tied to the shifting population. More than two thirds of the population now reside in urban areas and the share of the poor population in urban areas has increased from 62.1 percent in 2016 to 63.5 percent in 2018, with more than 40 percent of the poor living in Ulaanbaatar in 2018.

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Mongolia measures four different indicators for poverty: poverty headcount, poverty gap index, poverty severity index and the number of poor individuals. “The poverty headcount index is the share of the population whose consumption is below the poverty line. The poverty gap is the average distance below the poverty line as a proportion of the poverty line where the mean is taken over the whole population, counting the non-poor as having zero poverty gaps. The severity of poverty is the distribution of consumption among the poor population. However, household consumption has increased, its amount is below the poverty line, and poverty headcount and gap do not change, while poverty severity increases”. Poverty levels vary across Mongolia, with Ulaanbaatar reporting the lowest poverty levels when compared at an aimag level. Closer examination at a soum level highlights internal variations within poverty levels within aimags. The soum level analysis of poverty headcount from 2011 illustrated in Figure 5-3 indicates the variation in poverty levels across Mongolia, with Table 5-2 providing additional detail on the variation on poverty levels within Ulaanbaatar.

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Figure 5-2 Poverty Level Trends (Source: World Bank (2019a))

![Poverty Level Trends Graph](image)

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Table 5-2 Ulaanbaatar Poverty Indices (2011) (UNDP, 2011)

<table>
<thead>
<tr>
<th>Administrative Unit</th>
<th>Population</th>
<th>Poverty Headcount</th>
<th>Poverty Gap Index</th>
<th>Poverty Severity Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>Banagnuur</td>
<td>21,854</td>
<td>19.9</td>
<td>5.6</td>
<td>2.3</td>
</tr>
<tr>
<td>Bagakhagai</td>
<td>3,275</td>
<td>23.9</td>
<td>6.7</td>
<td>2.8</td>
</tr>
<tr>
<td>Bayangol</td>
<td>172,876</td>
<td>11.4</td>
<td>3.0</td>
<td>1.2</td>
</tr>
<tr>
<td>Bayanzurkh</td>
<td>265,605</td>
<td>22.4</td>
<td>6.2</td>
<td>2.6</td>
</tr>
<tr>
<td>Nalaikh</td>
<td>29,659</td>
<td>46.8</td>
<td>15.7</td>
<td>7.2</td>
</tr>
<tr>
<td>Songinokhairkhan</td>
<td>253,055</td>
<td>31.0</td>
<td>9.2</td>
<td>4.0</td>
</tr>
<tr>
<td>Sukhbaatar</td>
<td>119,574</td>
<td>19.5</td>
<td>5.4</td>
<td>2.2</td>
</tr>
<tr>
<td>Khan-Uul</td>
<td>105,436</td>
<td>24.3</td>
<td>7.0</td>
<td>3.0</td>
</tr>
<tr>
<td>Chingeltei</td>
<td>143,436</td>
<td>24.6</td>
<td>7.0</td>
<td>2.9</td>
</tr>
<tr>
<td>Ulaanbaatar</td>
<td>1,114,902</td>
<td>23.4</td>
<td>6.7</td>
<td>2.8</td>
</tr>
</tbody>
</table>

While the overall declining trend in poverty indicators in Ulaanbaatar is illustrated in Figure 5-4, it also demonstrates that this has not been a smooth process, and that poverty levels are rising again.
5.2.1 Social Welfare

Mongolia has an extensive social welfare system, with over seventy different social welfare schemes in place. Social welfare programmes are defined in the 2012 Social Welfare Law and can be broadly broken down into seven types of support:

- Social Welfare Pensions
- Social Welfare Allowance
- Social Welfare Services, including Community-based Services and Specialized Care Services
- Social Welfare Service Allowance for the Elderly with State Merit
- Allowance for the Elderly
- Allowance for the Disabled
- Allowance for Mothers and Children

Of the 3.17 million people resident in Mongolia, it is estimated that approximately 19% receive at least one benefit (this is excluding the Child Money Programme (CMP) which is aimed at redistributing mineral wealth to future generations)\(^5\).

Eligibility for social welfare programmes is typically determined at the Khoroo level in Ulaanbaatar. In order to be eligible for food stamps or food packages, households need to demonstrate that they fall under the poverty line. The National Statistics Office (NSO) 2018 definition of the poverty line, which is derived from the 2010 Household Socio-Economic Survey using the cost of basic needs approach, is set at the cost of acquiring a consumption bundle that provides 2100 calories per person per day as well as the cost of other non-food essential goods and services. The national poverty line is

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updated only for changes in price levels between surveys and the 2018 national poverty line is estimated at MNT 166,580 per person per month\(^6\). For comparison, the average monthly per capita real consumption in Ulaanbaatar in 2018 was reported to be 306, 373 MNT. In addition to consideration of income, the asset base of the household is also considered when determining eligibility (e.g. ownership of a car, regardless of income levels, is understood to make a household ineligible to receive food packages).

### 5.3 Khan-Uul and Khoroo 12

MDDS is located in 12 Khoroo of Khan-Uul District, an urban area to the southwest of Ulaanbaatar City. Khan-Uul is one of seven districts in Ulaanbaatar (Figure 5-5). The trends in the population of both Khan-Uul and 12 Khoroo are indicated in Table 5-3. It appears that while the population of Khan-Uul has been growing significantly in the past three years, the population of 12 Khoroo has declined slightly.

<table>
<thead>
<tr>
<th>Location</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Khan-Uul</td>
<td>159,465</td>
<td>169,726</td>
<td>178,919</td>
</tr>
<tr>
<td>12 Khoroo</td>
<td>6,067</td>
<td>5,937</td>
<td>5,925</td>
</tr>
</tbody>
</table>

A significant majority of the waste pickers working on the MDDS reported residing in Khan-Uul (80% as recorded in 2019, and 70% in 2017 (with 6% unable to provide an answer to this question in 2017), and as such, a general description of Khan-Uul, and Khoroo 12 in particular is provided below. Figure 5-6 indicates the locations of the Khoroos within Khan-Uul.

The populations of both Khan-Uul and Khoroo 12 (Figure 5-7) indicate population gaps for children of teenage years and young adults (ages 10 – 24).

Khoroo 12 is a predominantly ger area, with a total of 2 apartment buildings reported in 2017, housing approximately 240 households. The remaining 1500 households reside in gers.
Poverty indicator statistics are updated at a national and aimag level on an annual basis however soum/district level data was last reported in 2011. The poverty data from 2011 indicated relatively little difference between the poverty headcount across Ulaanbaatar and the rate within Khan-Uul district.

Table 5-4 Comparison of Monetary Poverty Indices (2011) (Source: UNDP (2011))

<table>
<thead>
<tr>
<th>Administrative Unit</th>
<th>Population</th>
<th>Poverty Headcount (PO)</th>
<th>Poverty Gap Index (P1)</th>
<th>Poverty Severity Index (P2)</th>
<th>Number of Poor Individuals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ulaanbaatar</td>
<td>1,114,902</td>
<td>23.4</td>
<td>6.7</td>
<td>2.8</td>
<td>261,005</td>
</tr>
<tr>
<td>Khan-Uul</td>
<td>105,436</td>
<td>24.3</td>
<td>7.0</td>
<td>3.0</td>
<td>25.649</td>
</tr>
</tbody>
</table>

While poverty data is not available at the Khoroo level, both through site visits to Khoroo 12 and engagement with the Governor of Khoroo 12, it is evident that poverty levels are elevated in this location. This is also seen in the predominance of ger style housing in Khoroo 12 compared to the Khan-Uul average of 25.9% ger housing across the whole district.\(^7\)

Poverty levels in Mongolia are also measured in non-monetary indicators as seen in Table 5-5. It is clear from this data that poverty presentation in Khan-Uul closely followed the average conditions across Ulaanbaatar in 2011.

Table 5-5 Non-Monetary Poverty Indicators 2011 (Source: UNDP, 2011)

<table>
<thead>
<tr>
<th>Administrative Unit</th>
<th>Labour Force Participation Rate</th>
<th>Employment Rate</th>
<th>Self-Employment Rate</th>
<th>Youth Unemployment Rate</th>
<th>Unemployment Rate</th>
<th>Dependancy Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ulaanbaatar</td>
<td>56.5</td>
<td>48.8</td>
<td>27.8</td>
<td>22.7</td>
<td>11.8</td>
<td>33.8</td>
</tr>
<tr>
<td>Khan-Uul</td>
<td>56.2</td>
<td>49.6</td>
<td>23.5</td>
<td>20.6</td>
<td>10.1</td>
<td>35.1</td>
</tr>
</tbody>
</table>

5.4 Waste Pickers

Waste pickers are present on all three of the Ulaanbaatar landfill sites and waste pickers tend to only work at a single dump site at a time. It is estimated that the total number of waste pickers working across the three dumps is in the order of 370 people. This is roughly broken down as 150 at NEDS, 150 at TDDS and 60-70 at MDDS. While there is no formal restriction on movement of waste pickers between the sites, proximity to point of residence appears to be the primary factor influencing the choice of landfill which the waste pickers work on. Other reasons which were also cited as reasons for choosing a specific landfill include:

- *The perception of the economic waste picking opportunity available at the dump site* - This can influence waste pickers in different ways, for example, as the largest landfill, NEDS is considered by some to present the greatest economic opportunity for waste pickers, however others feel that MDDS provides the best opportunities because of the comparatively small number of waste pickers present at the dump.

• *Receptiveness to new arrivals* – Some of the dumps are considered more hostile to new arrivals or waste pickers from other dump sites than others, limiting opportunities for waste pickers to easily change dump sites.

• *Debt to a middleman* – In a small number of cases, waste pickers who lived closer to one dump were choosing to pick waste at another more distant dump. In most cases, this was due to a debt owed to a middleman from the dump where picking activities were being undertaken, as the waste picker needed to repay the debt before being free to choose where to work.

• *Transport costs* – While connected to the proximity of the point of residence to the dump sites, transport costs were raised by a number of waste pickers as a deciding factor when choosing where to collect waste.

• *The future of the other dump sites* – It is understood that NEDS will be progressively closed over the next five years. There is no intention from the City of Ulaanbaatar to offer a comparable livelihood restoration programme upon closure of the NEDS facility. While this could impact future choices, the timeline for NEDS closure is unlikely to influence decisions made by waste pickers during the implementation of this Project.

The waste pickers of MDDS are a diverse group of individuals with no formal group organisation or structure. The data presented here has been gathered through socio-economic surveys and illustrates the diversity and the fluidity of the people picking waste. Data on the waste pickers at MDDS was first collected in August 2017 and was collected again in August 2019. It had been assumed that there would be considerable consistency between the waste pickers recorded in 2017 and 2019, especially given the self-reported duration of waste picking at MDDS by many survey participants. However, on comparison of the survey data from 2017 and 2019, only 30% of the waste pickers who were identified in 2017 were present at MDDS during the 2019 fieldwork period (presented differently, this equates to 67% of the 2019 waste pickers being “new” for survey purposes).

This section will consider data collected in 2017 and 2019, and provide a comparison between them where possible and appropriate.

### 5.4.1 Working Conditions

MDDS currently receives all waste types (including construction and demolition waste). All waste materials are dumped in the same general area, with LCSD wardens directing trucks to available locations for dumping on a truck-by-truck basis. There is limited access control affecting waste pickers within the dump-site, and the dump site operates 24 hours a day, 7 days a week throughout the year.

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8 Note, this excludes consideration of the three waste pickers who were present in 2019 but would not consent to participating in the survey. It is worth noting that Shared Resources did not recognise these three waste pickers, nor did they indicate familiarity with having participated in the survey in 2017, as such, it is likely that they were not counted in 2017, bringing the proportion of “new” waste pickers to 68.5%.

9 LCSD reserves the right to call the police and have waste pickers who are drinking on the dump site removed. The surveyors noted an apparent reduction in the level of public drinking at MDDS from 2017 to 2019, however cases of ongoing (multi-day) high levels of intoxication were also witnessed in 2019 (consistent with observations in 2017).
In general, waste pickers arrive at MDDS between 9-11am and will sort waste until late afternoon. Some waste pickers report working late into the night and starting to work during the dark hours of early morning if they believe this will provide them access to additional waste volumes. The informal nature of waste picking means that there is no concept of a “working day”, and this “freedom” to arrive and leave at their choice and to work the days they chose to, which is highly valued by some waste pickers.

The vast majority of waste pickers (71% in 2019) reported accessing MDDS by foot, with 22.5% using a personal car to get to the dump site, and 3% each catching either a bus or using a motorbike. By comparison, 77% of waste pickers reported coming to MDDS by foot in 2017, 5% by personal car, 5% by bus, 3.6% by motorbike and 7% of waste pickers lived on the site (five individuals). During the course of the fieldwork in 2019, it was evident that a number of waste picker households had taken the objective of purchasing a car (16% of interviewed households had taken loans to buy cars in 2019 compared to 8% of waste picker households in 2017). It would appear that this practice has influenced the level of personal car ownership amongst waste pickers between 2017 and 2019 (rising from 5% to 22.5% using a personal car to gain access to the site).

The number of waste pickers working at the MDDS on a given day is variable, and can be influenced by a range of factors, including:

- School holiday periods and summer holidays for construction workers - both of which see a temporary increase in waste pickers choosing to earn money during their “vacation” period;
- Weather – weather conditions which are likely to reduce the number of trucks dumping waste also reduce the number of waste pickers present at MDDS. Significant rain in summer can cause localised flooding (as evidenced on 6th August 2019), limiting the number trucks travelling to the waste dump and resulting in a very small turn-out of waste pickers;
- Weekends – the number of trucks delivering waste to MDDS appear to reduce moderately during the weekends, and as such, the number of waste pickers can also reduce. However, weekends can also provide opportunities for waste pickers who have jobs or other commitments (looking after family members) during weekdays;
- The picking season for fruits and berries – Waste pickers explained that during the summer months some waste pickers will combine fruit and berry picking with waste collection, resulting in their absence from the waste dump for a few weeks at a time;
- The time of the year – Peak waste picking season is understood to be summertime due to the relatively more temperate weather conditions, and the lowest numbers are understood to occur in winter (n.b. this has not yet been tested through a winter-time survey and needs to be validated).

The data presented here has been collected in two summer seasons (2017 and 2019), overlapping with school and workplace holiday periods in both instances. Baseline data will need to be collected over a twelve month period prior to the cessation of access to

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10 This data was calculated at the “household level”, as households with more than one waste picker tend to follow the same mode of transport to gain access to the site.
ensure all waste pickers who have worked on the site for a period exceeding two months in the past twelve months are captured.

5.4.2 Demographics

In addition to the two waste picker surveys at MDDS which have been undertaken as part of this Project, survey data collected in 2017 has also been made available from a project focussed on TDDS\textsuperscript{11}. Table 5-6 provides a high level summary of the data collected in 2017 and 2019 at MDDS by Shared Resources and includes the TDDS data (which has not been validated by Shared Resources). The details of this data will be discussed in the relevant sections in the remainder of this socio-economic baseline.

Table 5-6 Comparative Summary of Waste Picker Surveys

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Moringin Davaa August 2017</th>
<th>Moringin Davaa August 2019</th>
<th>Tsagaan Davaa April – July 2017\textsuperscript{12}</th>
</tr>
</thead>
<tbody>
<tr>
<td># of waste pickers interviewed</td>
<td>69 waste pickers (54 surveys)</td>
<td>51 waste pickers (in 31 surveys)</td>
<td>94</td>
</tr>
<tr>
<td># of people residing with waste pickers (combined household size)</td>
<td>211</td>
<td>134</td>
<td>361</td>
</tr>
<tr>
<td>Number of children in waste picker households</td>
<td>94 (44.5%)</td>
<td>61 (45.5%)</td>
<td>201 (55.7%)</td>
</tr>
<tr>
<td>Proportion of female waste pickers</td>
<td>43.4%</td>
<td>41%</td>
<td>66.5%</td>
</tr>
<tr>
<td>% of households living under the minimum standard\textsuperscript{13}</td>
<td>5.5% (3 households out of 54)</td>
<td>29% (9 households of 31)</td>
<td>46.8%</td>
</tr>
<tr>
<td>% of waste picker adults with secondary education or higher</td>
<td>79% (20.6% with primary level or lower)</td>
<td>84% (12% with less than secondary school and 4% unsure)</td>
<td>71%</td>
</tr>
<tr>
<td>% with no identification documents or can’t recall documentation details</td>
<td>7.2% (5 individuals reported not knowing or not having an id)</td>
<td>9.8% (5 individuals)</td>
<td>28.7%</td>
</tr>
</tbody>
</table>

The gender breakdown of waste pickers at MDDS has remained largely stable at just over 40%. The age distribution amongst the waste pickers appears to have undergone a considerable change from 2017 to 2019 (see Figure 5-8 and Figure 5-9), with a

\textsuperscript{11} This project was undertaken by the NGO Development Alliance, and focussed on “resource justice and women”.

\textsuperscript{12} As reported by Development Alliance. Based on the statistics reported by the Development Alliance, it would appear that the level of poverty is higher amongst waste pickers at TDDS than at MDDS, however this can not be confirmed in the absence of further information on the methodology used by Development Alliance when collecting their survey data. Given it’s relative proximity to the city centre of Ulaanbaatar, the ger district around TDDS would generally be considered a higher socio-economic neighbourhood than the ger area around MDDS.

\textsuperscript{13} It is not known how Development Alliance made this assessment for TDDS. At MDDS, this has been calculated based on the number of households who reported being recipients of food packages / food stamps (as described under the Social Welfare Law). Some caution is advised when comparing 2017 data to 2019 data for this indicator, as survey responses in 2017 were not as clear in their articulation of whether they received food packages or not as was the case in 2019. This may have influenced the significant increase in the proportion of households reporting that they lived under the minimum standard between 2017 and 2019.
reduction in the number of children present on the site and an apparent reduction in the number of elderly waste pickers. The data presented in these figures captured all waste pickers, regardless of the number of days they collect waste. It should be noted that MDDS appears to have fewer children collecting waste than the other two waste dumps in Ulaanbaatar, however the reason for this variance is not clear.

Figure 5-8 Age Breakdown of Waste Pickers (2019)

![Age Breakdown of MDSS Waste Pickers (2019)](image)

Figure 5-9 Age Breakdown of Waste Pickers (2017)

![Age Breakdown of MDSS Waste Pickers (2017)](image)

As seen in Figure 5-9, children comprised a small proportion of the waste pickers in 2017. Under Mongolian law, a child is defined as someone under 18 years of age. Using this as a basis for categorising waste pickers as adults or children, the following results were determined:

Table 5-7 Children Collecting Waste at MDDS

<table>
<thead>
<tr>
<th>Age of Child</th>
<th>Number of Children</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017 Data</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Notably, in 2017 there were a small number of families where mothers had brought young children to the MDDS to assist in the collection of waste. This practice was also witnessed at TDDS and NEDS in 2019, however, it was not evident at MDDS in 2019.

Of the nineteen waste picker households who reported having emigrated to Ulaanbaatar at some point in their lives, only 10% (2 households) reported arriving within the past years. Close to 70% reported having arrived in UB more than 15 years ago. This is of particular relevance as it addresses a concern raised by OTWatch in regard to herdsmen migrating to UB due to debt stress associated with loans provided to expand herds and capitalise on cashmere production opportunities\(^\text{14}\) and ending up working as waste pickers in recent years. The data presented here does not indicate this has been happening in recent years.

While waste pickers working at MDDS originate from a wide range of aimags, as can be seen in Figure 5-10 and Figure 5-11, it is clear that the primary aimag of origin is UB. This data has remained largely consistent from 2017 to 2019.

\(^{14}\)https://www.ft.com/content/4055d944-78cd-11e6-a0e6-39e2633162d5
As noted earlier, the vast majority of MDDS waste pickers are resident in Khan-Uul (predominantly in 12 Khoroo). Interestingly, the second most common, and only other, residential location, as reported in 2019, was Songino Khairkhan District, which is located close to NEDS. Again, this data has not changed significantly from 2017 to 2019 with the exception of the absence (in 2019) of a group who were resident on MDDS in 2017. This is discussed in greater detail in Section 5.4.5.
5.4.3 **EDUCATION**

In general, education levels in Mongolia are very high, with school attendance percentages for ages 6-9, 10-14 and 15-19 years in Khan-Uul Districts recorded as 98.0, 97.7 and 85.2 respectively in 2011 (UNDP, 2011). Furthermore, of the anticipated 15.5 years of schooling which is expected for Mongolian children, the median number of years of completed schooling, as reported in 2017, is 10.1 years (UNDP, 2018). Within this context, the education level of waste pickers is considerably lower than the district records and the national median, with close to 12% (6 individuals) having either attended no school (6%) or only entering primary school (6%), as recorded in 2019. Close to a quarter of the waste pickers (predominantly women) have completed higher education, either at University or through trade colleges. In general, the situation is largely similar to that recorded in 2017 (see Figure 5-15).
Waste picking is the primary income of the majority of the waste pickers (90% in 2019, and 85% in 2017). For those who do not consider waste picking to be their primary income (or the primary income of their household), it is normally either because they are only working as a waste picker during their summer vacation, or because their household is primarily dependent on a partner’s income. In 2017, 8% of waste pickers reported having a job or business which provided them with an additional income, and in 2019 the same percentage (8%) was recorded. As such, it is evident that the majority of waste pickers are highly dependent on waste picking for a living.

Many of the MDDS waste pickers have been collecting waste at MDDS for a number of years, with 38% in 2019 having picked waste at MDDS for a period of 5 years or more.
(compared to 35% in 2017). In 2017, a number of school children were recorded during the survey who had been coming to MDDS for a period of 3 months or less (during their school holidays) and planned to return to school when the holidays concluded. There were fewer school age children present at the time of the survey at MDDS in 2019 with the groups who had recently started picking waste mostly comprising couples who had either lost or quit their jobs recently. As noted earlier in the demographics analysis, there were no recent arrivals from the countryside recorded in 2019. Comparing the data from 2017 to 2019, it appears that more of the waste pickers surveyed in 2019 reported having picked waste at MDDS for a longer period. Given the duration of waste picking activity which has been reported, it is somewhat surprising that many of these individuals were not also identified in the 2017 survey. However, this reinforces the challenge of collecting a comprehensive baseline for waste pickers at MDDS due to the fluid and / or intermittent nature of their presentation at MDDS.

Figure 5-16 Number of years Collecting Waste at MDDS (%), 2019

![Chart showing the number of years waste pickers have been collecting at MDDS, with bars representing percentages for different time periods.](chart_url)

Figure 5-17 Number of Years Collecting Waste at MDDS (%), 2017

![Chart showing years as an MDDS waste picker, with bars representing percentages for different time periods.](chart_url)
The value of waste derived from waste picking is dependent on two factors:

- The type of waste being collected; and
- The volume of waste being collected.

In all surveys, waste pickers were asked to identify both the types and volumes of waste they typically collected. The categories of waste which were used were defined by the waste pickers themselves. It must be noted that many waste pickers had difficulty relating the amount of waste they collected to the income they received as payment, and as such, while both sets of data were recorded, the income data was considered the more reliable indicator of payment received.

Prices for waste fluctuate and a significant variation is evident between 2017 and 2019, as summarised in Table 5-8. In general, prices appeared to have increased from 2017 to 2019, and this was evident in increased incomes reported by waste pickers in 2019 compared with 2017. Beyond the items identified below (of which iron and copper are considered to be “construction and demolition waste”), waste pickers also collect bricks and wood when available. Bricks, also considered construction and demolition waste, have considerable value (100MNT per brick), but are only dumped irregularly, and do not appear to make up a regular component of the income of the MDDS waste pickers. The only waste pickers who reported collecting bricks were those working at TDDS. Wood, when available, is also collected by waste pickers in winter but only for personal use.

### Table 5-8 Waste Prices (as reported by waste pickers and waste buyers)

<table>
<thead>
<tr>
<th>Recyclable waste type</th>
<th>2017 price / unit</th>
<th>2019 price / unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plastics</td>
<td>100 MNT / kg</td>
<td>250 MNT / kg</td>
</tr>
<tr>
<td>Cans</td>
<td>1050 MNT / small bag</td>
<td>1500 MNT / small bag</td>
</tr>
<tr>
<td>Glass</td>
<td>700 MNT / kg</td>
<td>600 MNT / kg</td>
</tr>
<tr>
<td>Iron</td>
<td>50-100 MNT / kg (thin-thick iron)</td>
<td>150 MNT / kg for all iron</td>
</tr>
<tr>
<td>Copper</td>
<td>7600 MNT / kg</td>
<td>5000 MNT/kg (if sold to middleman) 7000 MNT / kg if sold direct to buyer</td>
</tr>
</tbody>
</table>

The volumes and types of waste collected on a daily basis vary considerably across waste pickers. The largest single variable was whether a waste picker specifically targets iron (both thick and thin) which is predominantly sourced from construction and demolition waste. In general, the collection of iron is primarily undertaken by men, and often by younger men. A number of female waste pickers noted that they felt too afraid or nervous to try to collect the high value iron waste. Women tend to feel nervous of collecting the high value iron for both safety reasons (it can be very heavy and awkward to extract from the waste, and is often identified and collected by young men while trucks are still moving) and for fear of intimidation from strong men who can be possessive or aggressive about the collection of high value materials.

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15 The 2017 survey was conducted shortly after a global oversupply of plastic waste, which dramatically reduced the price of plastic bottles. Prior to the price drop, waste pickers reported that prices had been in the order of 300 MNT / kg – not dissimilar to the prices witnessed in 2019.
Prices obtained for the sale of the waste types were consistent across the waste pickers irrespective of the waste buyers (and irrespective of the dump site). All waste pickers at MDDS indicated that they sold their waste to a middleman rather than selling the waste directly. The same pattern was evident at NEDS and TDDS with the exception of copper. At TDDS a number of waste pickers indicated that they would sell copper directly (rather than using a middleman) as they could gain a better price (see Table 5-8).

The intensity of work amongst waste pickers varies, with some picking waste only a few times per week and others collecting waste on a daily basis. As indicated in Figure 5-18, nearly 60% of the waste pickers interviewed in 2019 indicated that they collected waste 7 days a week. This is consistent with the findings from 2017 (59%) and also demonstrates little gender difference for the intensity of work effort.

![Figure 5-18 Number of Days Worked Per Week at MDDS (2019) (%)](image)

Determining waste picker incomes is made complex by a variety of factors, including: the frequency of waste picking and whether waste pickers collect and sell waste individually or as part of a family / household group. In the LRF, income analysis was divided down to the individual level to allow for comparable data, however a revised approach has been taken in this LRP. Given the collective nature of the waste picking activity and the shared benefit of the income derived at a household level, income has been assessed on a “waste picker household” basis. In this context, a “waste picker household” is defined as the members of the family identified by the waste picker at the time of data collection with whom they collectively pick and sell waste. In Figure 5-19, data from 2017 and 2019 have been analysed in a consistent manner to determine the earnings per waste picker household.

A significant difference is evident in these earnings, with an average waste picker household income of 21,800 MNT in 2017 compared to an average of 48,300 MNT in 2019. The median waste picker household income is likely a more appropriate indicator, and while the divergence between these two figures is less, it remains significant: a median waste picker household daily income of 20,000 MNT in 2017...
compared to 37,500 MNT in 2019. In order to consider this difference the following points must be highlighted:

- The analysis makes no allowance for inflation between 2017 and 2019. According to the World Bank, inflation in Mongolia was reported to be 7.8% in 2018. Inflation will likely explain some of the difference between reported incomes; and
- As indicated earlier, the survey in 2017 was undertaken during a period of global oversupply of plastic products, which had significantly affected the price being paid for plastic bottles (waste pickers reported that prices dropped from 300 MNT / kg to 100 MNT / kg). In 2017 waste pickers noted that their incomes had been significantly impacted by this price change as plastics had been their primary source of income prior to the price collapse. In 2019, the price of plastics had risen to 250 MNT / kg, and this would be expected to have a significant impact on household incomes due to the dominance of plastics collection by almost all waste pickers.

**Figure 5-19 Waste Picker Household Earnings Per Day (2017 and 2019)**

While it is possible that waste pickers are reporting higher incomes in advance of this Project being implemented in order to establish a higher baseline for anticipated compensation, this is not considered likely to be a major factor in the data collected to date. This confidence comes in part from the analysis of the small samples of income data collected from NEDS and TDDS in 2019 which indicated similar levels to those reported at MDDS (Table 5-9).

**Table 5-9 Comparison of Income Across Dump Sites (August 2019)**

<table>
<thead>
<tr>
<th></th>
<th></th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Average Daily Waste Picker Household Income</td>
<td>48,300 MNT</td>
<td>39,000 MNT</td>
<td>60,250 MNT</td>
</tr>
<tr>
<td>Median Daily Waste Picker Household Income</td>
<td>37,500 MNT</td>
<td>35,000 MNT</td>
<td>50,000 MNT</td>
</tr>
</tbody>
</table>
Due to the “household” approach to income assessment, it is not possible to analyse income data through a gender lens. Of the 51 waste pickers interviewed in 2019, 73% collected waste as part of a “household group” of two or more people. Of the 27% (14 individuals) who collect waste individually, 35% (5 individuals) were female. Considering only the incomes of those who collect waste individually, an average daily income of 40,500 MNT and a median daily income of 33,750 MNT was reported in 2019.

Considering both the median income figures and the number of days worked by waste pickers it is clear to see that some waste pickers derive a substantial income from waste picking at MDDS, helping to explain why a small proportion have chosen this lifestyle over an existing low paying job. The proportion of waste pickers who indicate a “good business opportunity” as the basis for their decision to collect waste was 19.4% in 2019 (compared with 14% in 2017). All of the remaining 80.6% in 2019 indicated that they collect waste due to financial necessity. Many waste pickers explained that there are few jobs available in 12 Khoroo, Khan-Uul and transport costs to jobs in other parts of Ulaanbaatar can be cost prohibitive for many jobs. Many waste pickers also cite problems with receiving payment for previous formal sector jobs (e.g. construction work) which led them to seeking immediate and daily payment from the waste dump.

The income data reported above refers to the amount waste pickers earn from the waste they collect, however in most cases, a proportion of this income is used to repay loans, either with the waste buyers or with others. In 2019, two thirds of all waste picker households reported having taken out a loan which they were in the process of repaying, and close to a quarter of those loans were to purchase cars. Loans were also common in 2017, with 40% of waste pickers reporting having a loan at the time of the survey, however only 8% of these loans were for cars. There is no obvious correlation between age, gender, family structure, or number of years of picking waste and the likelihood of taking out a loan, nor does it necessarily correlate with an indication of financial need.
The perception of the loans from middlemen varies considerably amongst waste pickers, with some viewing the loans as a kind gesture and an indication of a close relationship. However, others see the loans as a means of tying the waste pickers to specific middlemen, effectively ensuring the middlemen have a supply of waste picking labour. In a few cases, waste pickers indicated that the reason they were working at a specific waste dump was due to the fact that they had a loan with a middleman from that waste dump – supporting the argument that the loans effectively “trap” the waste pickers. Anecdotal reports also suggest middlemen strongly encourage / push waste pickers to take loans, even when they are not needed, in order to gain some leverage over the waste pickers.

The loans vary greatly in size ranging from 220,000 MNT through to 10 million MNT in 2019. The majority of loans are taken from waste buyers, although a small proportion also avail themselves of pension loans. The average loan size in 2019 was reported to be 2.8 million MNT, with a median loan size of 1.65 million MNT. Details of interest rates were not openly discussed amongst waste pickers or waste buyers.

5.4.5 LIVING ARRANGEMENTS

80% of the waste pickers interviewed in 2019 reported that they reside in gers. Of those who reported living in a house (6 households), one was sharing a house after a fire destroyed their ger, and a second noted that the house was in a degraded condition. In 2017, five individuals (four households) had been identified as sleeping at the MDDS, with no alternative accommodation options. The composition of this group, as understood in 2017, was:

- 2 ex-prisoners who had been unable to secure employment or accommodation after leaving prison;
- A couple where the wife had mental health issues; and
- An individual with apparently severe alcoholism.

During the 2019 survey, the LCDS reported that no waste pickers are sleeping at MDDS currently, in part due to reinforcement of rules prohibiting this from occurring by LCDS. The status of the five individuals who had been sleeping at MDDS in 2017 was investigated at length, with the following results:

- The wife in the couple attacked and killed her husband one night in March 2019. She has subsequently been incarcerated.
- The whereabouts of the two ex-prisoners and the individual with severe alcoholism are unknown. Enquiries were made of more than twenty long-term waste pickers at MDDS and LCDS staff and not only are their whereabouts unknown, but no-one appears to recall them. One factor which could influence the level of recognition relates to nicknames – waste pickers typically provide their formal registered names when completing the survey but may well be known by another nickname by other waste pickers. However, even when these individuals were described in as much detail as was available, other waste pickers remained unsure who they were. Based on this, it is assumed that the three individuals only collected waste at MDDS for a relatively brief period of time. Unfortunately, it is not known what they are now doing.

While none of the waste pickers who were interviewed in 2019 indicated that they slept at MDDS, it was implied by some waste pickers that one individual who was not able
to participate in the survey due to constant high levels of intoxication may sleep at MDSS on occasion.

5.4.6 VULNERABILITY

Waste pickers can be considered a vulnerable group, by definition, as their livelihoods are informal, there is a significant level of health and safety risk associated with waste picking activities and they have no recourse to authorities in the event of a “workplace dispute” or a loss of income. Notwithstanding this general level of vulnerability amongst waste pickers, six parameters were identified as potentially indicating an additional level of vulnerability at an individual or household level to indicate where additional support may be required in a livelihood restoration context. The six parameters which were applied were:

- Elderly
- Invalid
- Very poor to the extent that they cannot cope with basic needs
- Female headed-households
- Individuals or households flagged by Government authorities (e.g. households receiving food stamps or food packages)
- Children under 16 years of age.

In considering each of these parameters, the surveyors also applied their own judgement on whether the individual / household seemed vulnerable. Each potential indicator of vulnerability was considered before concluding whether the household did indeed appear additionally vulnerable to the impacts of the Project. For example, of the 29% of households who were receiving food packages from the Government in 2019, only 40% of those households were identified as being vulnerable based on the survey responses.

In 2017, 22 individuals, representing 17 households were identified as additionally vulnerable (equating to approximately one third of the individuals / households being classified as vulnerable). In 2019, vulnerability was only assessed at a household level and returned a lower level of vulnerability – 23%, or 7 households. A number of households presented with more than one component of vulnerability, however the dominant vulnerability has been highlighted in Table 5-10.

Table 5-10 Vulnerability Analysis (2019)

<table>
<thead>
<tr>
<th>Category of Vulnerability</th>
<th>% of Households 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elderly</td>
<td>3.2%</td>
</tr>
<tr>
<td>Invalid</td>
<td>3.2%</td>
</tr>
<tr>
<td>Very poor</td>
<td>9.7%</td>
</tr>
<tr>
<td>Female headed household</td>
<td>6.5%</td>
</tr>
<tr>
<td>Flagged by authorities¹⁶</td>
<td>~</td>
</tr>
</tbody>
</table>

¹⁶ Nine households in total were receiving food packages at the time of the 2019 survey, of which four were classified as vulnerable. They have been recorded against their primary vulnerability (e.g. very poor) rather than simply because they received food packages in this table.

March 2020
The greatest levels of vulnerability were seen in individuals and households who appear to have “fallen out” of the system, with no or limited access to government support schemes or alternative economic opportunities. This risk was particularly elevated for older waste pickers who had no pension or dependents who could care for them. Other factors which also increase vulnerability in this context include:

- Criminal history, making it very difficult to gain formal employment (in both 2017 and 2019, a small number of ex-prisoners have been working as waste pickers at MDDS);
- Alcoholism, making it difficult to gain or retain formal employment;
- Loss of or lack of identity documents, making it difficult to access government benefits or formal employment (n.b. this concern has been raised at other dump sites, however it does not appear to be a widespread concern at MDDS (7% of individuals either did not know or did not have identification documents in 2017 and while this increased to 9.8% in 2019, most appeared to own documents but just could not recall the details when completing the surveys); and
- Lack of a residence. While not identified as an issue in 2019, this was highlighted in the 2017 survey when five individuals were known to be sleeping at MDDS.

### 5.5 Waste Buyers

Five individuals were buying waste from MDDS in 2019, however they belong to three families. Two of the buyers were interviewed during the course of the field work in 2017 and the description of the waste buyers provided here is based on those interviews.

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The three primary waste buyers are known as Tuya, Gambaa and Khandaa. Furthermore, Tuya’s son, Bat Orgil was also buying waste in 2019, as was Bayanbaatar (the son-in-law of Khandaa).
Of the three families of waste buyers, two family heads are female and live in very close proximity to MDDS, while the third, male, lives in the main section of Khoroo 12. The waste buyers come to MDDS everyday, sometimes multiple times during the day. They often provide waste pickers with sacks to sort the waste into which they collect when they purchase waste at the end of the afternoon. A brief profile of the two interviewed waste buyers is provided below:

- Male, age 38, has been buying waste from MDDS for 13 years. He purchases all types of waste. He reports purchasing between 400-500,000 MNT of waste per day, which he then sells for between 700-800,000 MNT. He started buying waste because he saw the business opportunity it represented. He provides loans to waste pickers as necessary.
- Female, age 53, has been buying waste for 7 years. She (and other members of her household of 8 people) buys all types of waste. 50% of the waste she purchases is from MDDS and the remainder is from individuals who come to her compound in the valley next to MDDS to sell directly to her. She reported spending between 800,000-1 million MNT per day purchasing waste. She also provides loans to waste pickers as necessary.

5.6 Waste Pickers at NEDS and TDDS

During the preparation of the LRF it was identified that the development of the CDW Sorting Facility at MDDS will likely impact the income of waste pickers at NEDS and TDDS as all CDW waste will in the future be redirected to MDDS. In order to better understand the impact on these waste pickers, a small sample of waste pickers were surveyed (using the form outlined in Appendix C) at both dump sites in August 2019. The purpose of the survey was not to provide comprehensive coverage of all the waste pickers at these sites, nor to collect personal information to inform a census for these sites. Instead, the data collection exercise was focussed on understanding how long waste pickers have been picking waste at the specific dump site and the proportion of their income which currently derives from CDW waste. Eight surveys were conducted.
at NEDS, covering ten waste pickers, on Thursday 8th August, 2019. Ten surveys were conducted at TDDS, covering fourteen waste pickers, on 9th August, 2019.

A brief summary of the findings from these surveys are provided below:

**NEDS:**
- NEDS is located in Songino Khairkhan District and all of the interviewed waste pickers resided in the same District;
- The ten waste pickers had worked at NEDS for an average of 9.6 years, with a median of 10.6 years;
- 40% of the interviewed waste pickers were female;
- The interviewed waste pickers ranged in ages from 23 to 53;
- Three of the eight waste picker households (37.5%) were considered vulnerable;
- Analysis of the self-reported incomes from NEDS indicated an average income of 39,000 MNT per waste picker household per day, with a median value of 35,000 MNT;
- Waste pickers were asked to estimate the proportion of their income which is derived from CDW waste. The responses ranged from zero to 40-50%, and resulted in both an average median value of 20%. It should be noted that CDW waste is predominantly collected by younger male waste pickers and only one of the interviewed waste pickers fell into this category (other young male waste pickers did not consent to participate in the survey). Notably, the young man who was interviewed (aged 23) indicated that 20% of his income came from CDW.

**TDDS:**
- TDDS is located in Bayanzurkh District (BZD) and is located close to the city centre of Ulaanbaatar than the other two dump sites. For this reason, finding accommodation in proximity to the dump can be challenging. Of the ten waste picker households interviewed at TDDS, 60% were living in BZD, 20% were resident in Songino Khairkhan, 10% in Chingeltei and 10% had not accommodation and lived either on TDDS or with friends in winter months;
• The 14 waste pickers had worked at TDDS for an average of 4.6 years, with a median of 4 years;
• 43% of the waste pickers interviewed were female;
• The interviewed waste pickers ranged in ages from 14 to 70;
• Six of the ten waste picker households (60%) were considered vulnerable;
• Analysis of the self-reported incomes from TDDS indicted an average household income of 60,250 MNT per day, with a median of 50,000 MNT;
• Waste pickers were asked to estimate the proportion of their income which is derived from CDW waste. The responses ranged from zero to 50%, and included one individual who was not able to estimate this figure. The average contribution of CDW to income was reported to be 28% with a median of 30%.

In 2017, the NGO “Development Alliance” implemented a survey at Tsagaan Davaa Dump Site (TDDS) to investigate “resource justice and women”. The following data has been provided by the NGO and summarizes the findings from their surveys. Between April – July 2017, they interviewed 94 waste pickers, of whom 66.5% were women. When counting the family members of the waste pickers (not collecting waste) the group covered 361 people, of whom 201 were children. The majority (66%) lived in the Bayanzurkh district with less than 10% coming from rural areas. Of the interviewed waste pickers:

• 28,7% did not have any identification documents;
• nearly 50% were considered to be living under the minimum living standard;
• 41,5% had very low income;
• 47,9% were not living in a registered address;
• 71% had secondary education;
• 67% had another job before coming to the DS;
• 44,7% were married;
• 30,9% were bedmates;
• 24,5% were single-headed household;
• 5,7% were disabled;
• 26% were alcoholic;
• 63% were tobacco-dependent;
• 5,9% were under medical control; and
• 5,2% had other illness.

6 Legal Review and Gap Analysis

6.1 Mongolian Legislation Applicable in Cases of Livelihood Restoration and Displacement

Mongolian law does not make any explicit provisions to assist or compensate informal livelihoods negatively impacted by the activities of infrastructure projects. The Mongolian laws of greatest relevance to waste pickers and livelihood restoration are summarised below, however, it should be noted that the laws primarily address economic displacement impacts related to a loss of land, with limited focus on loss of income or business opportunities independent of land acquisition:
• The Constitution of Mongolia (1992) – provides (article 16.2) the right for people to live in healthy and safe conditions, which means that people have the right to be provided with public infrastructure, such as sewerage, heating systems, and water supply, to enjoy a healthy and safe livelihood.

• Law on Land (2002) – Regulates issues related to land possession and land use by individuals and legal persons. It defines three types of land tenure: land ownership, land possession and land use.

• Law on Allocation of Land to Mongolian Citizens for Ownership (2002) – Regulates procedures for allocating land for ownership and other relations associated with land tenure. Only Mongolian citizens can obtain land ownership rights which can be obtained free of charge.

• Civil Code of Mongolia – Regulates resettlement process in urban areas based on negotiated agreements with affected citizens. There is no specific requirement to compensate for the loss of employment impacts to businesses as a result of resettlement.

• Urban Redevelopment Law (2015) – Includes articles on resettlement and compensation for “freeing” land. Importantly, it contains more detail on resettlement requirements in an urban setting but remains primarily focused on resettlement related to loss of land, with limited guidance on economic displacement related to a lost business opportunity.

• Law on Social Welfare (2012 revised version) - This law provides the basis for eligibility and entitlements for social welfare. Mongolia has 72 forms of social welfare, where social welfare is defined as “acts providing pensions, allowances and special care services by government to citizen[s] with special needs who is in a poor state of health, lacking of family care and incapable of conducting normal life independently or without other’s help and to individual-member of household requiring social welfare assistance or care in order to meet his / her minimum needs”. Furthermore “an individual member of household requiring social welfare assistance or care” means an individual member of household selected from households in which the living standard is lower than the current poverty indicator lines and which is entered into the household unified information fund in accordance with the methodology approved jointly by the national statistical committee and the state central administrative organisation in charge of social welfare matters. Given the importance of social welfare support to the majority of waste pickers, the eligibility criteria for key forms of support are defined below:
  o Social welfare pension – a social welfare pension is granted to citizens on a monthly basis if they are not entitled to receive a pension on the basis of social insurance and do meet the following conditions:
    ▪ Man over 60 years of age or more, and woman aged 55 years or more;
    ▪ Dwarf individual who has reached 16 years of age;
    ▪ Disabled people who have reached 16 years of age and who have lost 50% or more of their labour capacity;
    ▪ Child who is under 18 years of age and whose foster family have died; and
    ▪ Single female headed household (up to 45 years of age) and man (up to 50 years of age) who have four or more children up to 18 years of age.
Social welfare allowance – the allowance can take the following forms: monetary allowance for emergency and livelihood support; care allowance; allowance of an individual member of household requiring social welfare support and assistance immediately; and allowance for pregnant women and mothers with infants. Amongst other groups, emergency assistance can be provided for a homeless or wandering person or household, and a citizen released from prison who is now homeless.

Applications for social welfare are to be made through the Khoroo and the budget for these activities is to be defined by the Khoroo Livelihood Support Council.

Food and nutrition support services are available to households failing to meet the minimum poverty standard. Support is typically in the form of food stamps or food packages.

- National Statistics Office (NSO) 2018 definition of the poverty line - derived from the 2010 Household Socio-Economic Survey using the cost of basic needs approach. The poverty line is set at the cost of acquiring a consumption bundle that provides 2100 calories per person per day as well as the cost of other non-food essential goods and services. The national poverty line was updated only for changes in price levels between surveys and the 2018 national poverty line is estimated at MNT 166,580 per person per month. For comparison, the average monthly per capita real consumption in Ulaanbaatar in 2018 was reported to be 306,373 MNT.

- The city of Ulaanbaatar, Governor’s Decree titled “About measures to ensure the right of citizens to live in a healthy and safe environment” (issued: 9 January 2017, for one year and then extended for two additional years in 2018). Under this decree, migration from the countryside to the capital city is banned for all people excluding those requiring long-term medical treatment and those who purchased apartments in Ulaanbaatar. Under this decree, anyone moving to the capital after January 2017 not meeting these criteria is not eligible to be registered in Ulaanbaatar and as such, cannot receive government welfare benefits if living in the city.

In addition to the legislation and regulation defined above, some laws related to waste management will have an impact on this Project, although with limited consequence for the LRP. They are briefly mentioned below:

- Law on Waste (2012) and its Amendment (2017) – relevant to the project but not specifically relevant to resettlement considerations. The Amended Law on Waste specifically targets the promotion of decreasing, reusing and recycling waste. These changes have had impacts to waste collection services but have not appeared to have significant impacts on the activities of waste pickers.

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19 ibid
20 Anecdotally, a number of waste pickers indicated concerns that waste collectors are increasingly collecting and removing recyclable items of value from collected waste prior to delivering waste to the dump sites.
• National Programme on Improving Waste Management Systems – relevant to the Project but not specifically relevant to resettlement considerations.
• Regulation on the funding of waste collection and consolidation of waste management service fees - relevant to the Project but not specifically relevant to resettlement considerations.

6.2 EBRD Requirements

The EBRD requirements pertaining to physical and economic displacement relevant for this Project are defined in EBRD Performance Requirement 5 “Land Acquisition, Involuntary Resettlement and Economic Displacement” and are summarized below:

• To avoid or where unavoidable, minimize displacement – the client will consider feasible alternative project designs to avoid or at least minimize physical and / or economic displacement, while balancing environmental, social and economic costs and benefits;
• Affected persons shall be given the opportunity to participate in the eligibility requirements, negotiation of the compensation packages, livelihood restoration assistance and proposed timing of displacement with the objective of achieving informed participation of affected persons;
• The client will be required to ensure that vulnerable groups are not disadvantaged in the resettlement process;
• The client will carry out a detailed census to identify people impacted by the Project and determine who will be eligible for compensation and assistance, taking into consideration the possibility of seasonal workers;
• If people living in the project area must move to another location, the client will i) offer displaced person choices among feasible resettlement options, including adequate replacement housing or cash compensation where appropriate, and ii) provide relocation assistance suited to the needs of each group of displaced persons;
• Compensation for loss of assets will be offered at full replacement cost with the intention of restoring and potentially improving the standard of living and / or livelihood of displaced persons to pre-displacement levels;
• Compensation packages will be provided before displacement or imposition of access restrictions occurs;
• Provision of additional targeted assistance (for example, credit facilities, training or job opportunities) and opportunities to restore and where possible improve, income earning capacity, production levels and standards of living of economically displaced individuals. In the case of businesses experiencing temporary losses or having to close as a result of project-related displacement, both the owner and employees losing pay or employment are eligible for such assistance.
• Provide transitional support to economically displaced persons, as necessary, based on a reasonable estimate of the time required to restore their income earning capacity, production levels and standards of living.
• To establish a grievance mechanism to receive and address in a timely fashion specific concerns about displacement and livelihood restoration as raised by affected people; and
• In the case of economic displacement, the client will develop and implement a Livelihood Restoration Plan (LRP – this document).

6.3 Gap analysis between Mongolian legislation and EBRD requirements

Table 6-1 summarises the key gaps between Mongolian Law and the EBRD Performance Requirements.

Table 6-1 Gaps between Mongolian Law and EBRD Performance Requirements

<table>
<thead>
<tr>
<th>Theme / Issue</th>
<th>Mongolian Legislation</th>
<th>EBRD requirement</th>
<th>How the gap can be bridged</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expropriation</td>
<td>Expropriation can only be undertaken by the State or its public bodies. It cannot be used by private enterprises</td>
<td>Expropriation should only be used as a last resort.</td>
<td>No gap</td>
</tr>
<tr>
<td>Negotiated land acquisition</td>
<td>The Civil Code of Mongolia provides the legal basis for land transaction contracts</td>
<td>Negotiated settlement is encouraged</td>
<td>No gap</td>
</tr>
<tr>
<td>Eligibility</td>
<td>Only registered owners, possessors or users of land are recognized.</td>
<td>Eligibility includes those who have formal legal rights, recognized legal rights and no legal rights but who use or occupy the land or assets.</td>
<td>Eligibility needs to include un-registered land and resource users, possessors and owners.</td>
</tr>
<tr>
<td>Cut-off date</td>
<td>No specific provision</td>
<td>A cut-off date must be stated and communicated, with the census of affected people conducted at this time. People who encroach on the project site after this time are not eligible for compensation.</td>
<td>A cut-off period will be set for eligibility for compensation. Given the fluidity of waste pickers, a “period” rather than a “date” will need to be applied to ensure all eligible waste pickers are registered.</td>
</tr>
<tr>
<td>Compensation</td>
<td>Compensation may be based upon State rates for land and for structures, it is theoretically based on depreciated value.</td>
<td>Compensation should be based on full replacement cost.</td>
<td>Compensation will be paid at full replacement cost.</td>
</tr>
<tr>
<td>Livelihood Restoration</td>
<td>No specific provisions</td>
<td>Livelihood restoration measures required to restore or improve livelihoods of economically displaced households. Livelihood restoration measures also cover businesses affected by access restrictions.</td>
<td>Livelihood restoration measures will be incorporated into the entitlement framework.</td>
</tr>
<tr>
<td>Vulnerable people</td>
<td>No specific provisions for differential treatment of vulnerable groups or persons</td>
<td>Specific assistance to vulnerable people affected by displacement to the extent that their vulnerability changes the impact of the displacement upon them</td>
<td>Identification of affected vulnerable households and identification of additional support measures as necessary</td>
</tr>
</tbody>
</table>
It should also be noted that while this is not the first dump site in Mongolia to be modernized (NEDS was developed through a grant from the Japanese Government in 2008), it is establishing a Mongolian precedent in terms of prohibiting waste picker access to the dump post modernisation. This approach is consistent with good international practice and in line with European Union standards. In this context, this LRP will establish a precedent for how to compensate informal waste pickers for livelihood impacts generated by a project of this nature.

7 Eligibility, Entitlements and Livelihood Restoration

7.1 Entitlement Measures

7.1.1 ENTITLEMENT MEASURES FOR WASTE PICKERS AT MDDS
Entitlement measures have been defined for each of the “categories” of impact, as defined in Section 2. When the LRF was developed in 2017, it was suggested that entitlement measures be differentiated by the number of days (or the intensity of work effort) a waste picker conducted per week. While this approach was in accordance with an intrinsic sense of compensation being tied to effort, the high level of variability from
one week to the next amongst waste picker work effort meant that this approach would be difficult to implement. In an unregulated, informal economy, such as waste picking, the number of days an individual works may be controlled by a range of parameters, including: economic necessity; child care availability; health limitations; and weather. It is also clear that very few MDDS waste pickers (2% in 2019, and 6% in 2017) collect waste less than 3 days per week. As such, no distinction between those who work more or less days per week is being drawn in this LRP.

Seasonal variations also play a significant role in the number of waste pickers present on a dump site. Consistent with the approach outlined in the LRF, for the purposes of eligibility and entitlements, waste pickers who have worked at MDDS for a period of at least two months within the twelve months preceding the cut-off date will be considered eligible. This conservative approach is recommended to ensure that seasonal dependency is adequately taken into consideration.

An exception to this approach has been applied to students who only collect waste during school holidays and on weekends. Students have been defined as a sub-category (C-1) within the affected MDDS waste pickers (category C). To the extent that a student is collecting waste more regularly or for a longer period than the times outlined above, they would be eligible for full compensation, however the data collected in 2017 and 2019 indicates most students are only collecting waste for short periods of time.

There is considerable variation amongst the waste pickers interviewed at MDDS, and as such, the nature of livelihood restoration activity appropriate to their situation will also vary. A number of the categories of entitlement measures outlined below are “either / or” scenarios, i.e. waste pickers will be entitled to choose a measure which best suits their individual situation. Over and above the suite of options available to all waste pickers, a number of additional or preferential measures have been defined for two groups who are expected to face greater challenges in finding a new source of income, namely: vulnerable households; and households where the waste pickers are aged fifty or above.

The compensation values indicated in the entitlement measures are based on median income levels as recorded during the 2019 MDDS waste picker survey. These compensation payments would be classified as “transition payments” under EBRD definitions. The more standard form of compensation, compensation for loss of assets or loss of access to assets, is not considered applicable in this LRP as the waste pickers have no rights (formal or informal) to the waste from which they derive their income. With the primary focus of compensation on the payment of a transition allowance, significant pressure is placed upon supporting livelihood restoration programmes which are designed to help waste pickers develop an alternative livelihood within a defined period of time. The period of time selected for the transition allowance has been limited to two months. Two months was chosen as it provides sufficient time for waste pickers to prepare for and seek a job in Ulaanbaatar, but also is not long enough for waste pickers to become complacent about the need to find an alternative income source.

In this LRP, compensation payment (transition allowances) will be paid at the “waste picker household” level, rather than at an individual level. This approach varies from that outlined in the LRF, and is considered to better reflect the nature of the income data collected from the waste picker surveys and the nature of household economics.
By making payments at a household level there is a risk that one member of a household could control or appropriate the compensation at the expense of the rest of the household. Options to manage this risk will be developed as part of the implementation process.

Provision of training opportunities is an important element of the proposed entitlements matrix. Specific detail on the nature of the training opportunities to be provided needs to be defined through further engagement with waste pickers, however the costs that have been included in the budget are based on quoted costs for a variety of month long training programmes (in 2019) by a reputable training organisation in Ulaanbaatar.

At the time of preparation of this LRP, the institutional arrangements for the implementation of the measures outlined in the LRP were unclear. Where an implementing entity will be required to undertake an activity within the entitlement measures defined below, they have been referred to as “the LRP implementing party”.

The broad categories of entitlements applicable to waste pickers at MDDS are defined below:

- **Access to social workers, health workers and assistance with documentation:**
  - All affected waste pickers will be entitled to access to social workers, health workers and support for the completion of documentation.
  - The purpose of providing access to social workers is to work with the waste pickers to build their confidence to more fully participate in formal society, and to help them address social exclusion issues which have limited their participation in formal society in the past.
  - Access to health workers will help to ensure that this group who, according to baseline surveys, rarely visit medical professionals, receive a health check and a plan to address existing health conditions can be developed.
  - An element of this support will be ensuring that identification documentation is up to date and available for all waste pickers, and that they are aware of and registered for all the state support they are eligible to access (e.g. food support, child support, disability or health support). The Social Welfar Department for the City of Ulaanbaatar has confirmed their willingness to support waste pickers to gain access to relevant social welfare schemes for which they are eligible.

- **Lump-sum livelihood support package:**
  - Given the high levels of indebtedness amongst waste pickers, there is a concern that in the absence of providing some form of a lump-sum support payment many households will be in significant financial difficulty immediately after the cessation of waste picking activity. It is proposed that a one-off contribution of 750,000 MNT be made to all waste picker households as a lumpsum support payment. For those who have debts which could limit their ability to transition livelihoods, the LRP implementing party will need to work with the waste picker household to ensure this compensation is directed towards minimising this burden.

- **Training and Access to Employment Opportunities:**
For waste pickers seeking new work opportunities, they will be entitled to training opportunities to build specialist skills to improve their future employability. Provision of training opportunities to give construction / watchmen / cooks / etc workers specialist skills. Training opportunities will need to be defined based on an understanding of market demand.

Waste pickers working at MDDS will be prioritized for employment opportunities in the new landfill and recycling plant once these facilities are operational, however expectations will need to be managed as there is a limit on the number of low-skill jobs available in these facilities.

The LRP implementing party will provide introductions for waste pickers to other companies to increase their access to other employment opportunities.

The LRP implementing party will work with waste pickers seeking alternate employment opportunities to help prepare them to gain a new job (cv preparation, interview preparation, etc).

- **Retirement Planning:**
  - Specific focus will be placed on households comprised of individuals planning to retire after waste picking activities cease to ensure they have access to all the social benefits and services to which they are entitled.
  - Compensation at a household level for loss of income during a transition period in between jobs (2 months worth of median waste picker household salary payments spread out over 4 months or over a schedule agreed with affected households).

- **Support for New Work Opportunities:**
  - Transition payment of 2 months median waste picker household salary of 40,000 MNT / day to allow people time to find a new job
  - Provision of training opportunities to give construction / watchmen / cooks / etc workers specialist skills. Training opportunities will need to be defined based on an understanding of market demand.
  - The LRP implementing party to provide introductions to other companies to see if they have jobs available for waste pickers
  - Provision of “job preparation support” (cv writing, interview preparation)
  - Priority consideration for new jobs at the recycling facility and landfill cell for all waste pickers, but with a specific priority given to waste pickers aged fifty years or older.

- **Support for New Business Opportunities:**
  - For waste picker households seeking to develop a new business opportunity, the LRP implementing party will ensure they have access to small business specialists to advise on the establishment and operation of the new business. Particular attention will be paid to the time required for the new business to generate an income for the waste picker and close follow-up will occur to help ensure the small business succeeds.
  - To support the establishment of a new business, waste picker households will be given the option of accepting compensation for loss of income during a transition period (2 months), or reduced compensation (1 month) plus a small business grant not to exceed the value of 1 month’s compensation payment.

- **Support for people unlikely to gain any other form of employment:**
High levels of alcoholism, a lack of skills, absence of identification documents and a history of criminal activity will make it exceptionally difficult for some individuals to gain any other form of employment. For this group of individuals, the LRP implementing party will need to develop case-by-case support plans. Opportunities which can be pursued may include identification of other informal income opportunities.

- It is anticipated that this group will require more services from the social worker / psychologist than is the norm for the waste pickers.

**Support to Vulnerable Households:**
- For vulnerable households, the LRP implementing party will need to develop case files for each household and develop support appropriate to each household. These are likely to include supporting households to apply for any additional government welfare benefits, as appropriate.
- To minimize the risk of food insecurity and an inability to meet basic needs (some of these households are already earning less than the minimum subsistence level of Ulaanbaatar (MNT 166,580 per month)), additional food and utility support will be provided in the order of 100,000 MNT / month for 6 months.
- Support will also be provided to children within the immediate household of the vulnerable waste picker to ensure they continue to attend school. This is expected to take the form of support to buy school uniforms, textbooks and transportation to access the neighbourhood school as necessary.

**Support for Students:**
- While waste picking may be the primary income for school students, it is assumed that the students are not the primary income generators in a household, and as such, the income lost as a result of the cessation of access to MDDS will be of comparatively lower impact to this group. Exceptions to this assumption will be identified and managed on a case by case basis.
- Compensation of loss of income during a transition period (assumed to be 2 weeks for students).

**Alternate housing arrangements:**
- As noted in the baseline, a small number of individuals were resident on the MDDS landfill in tents or informal structures in 2017. During winter these individuals were understood to reside in abandoned buildings or with friends in 12 Khoroo. In the event that waste pickers are identified as living at MDDS at the time of the cut-off date, the LRP implementing party will need to identify alternate housing options with security of tenure for these individuals and if no alternatives are accessible to the affected waste pickers, the LRP implementing party will need to acquire land and construct a permanent structure residence for each affected household.

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21 In the LRF it had been assumed that the replacement accommodation would take the form of a ger. However, after meeting with OTWatch and Development Alliance NGO, advice was received to avoid providing accommodation in a form which could be traded, hence a fixed structure has been recommended instead.
In addition to the measures for MDDS waste pickers identified above, social workers will also work with waste pickers to help assess if they are eligible for and may benefit from any of the following social welfare programs provided by the Government of Mongolia and a variety of NGO’s:

- The City of Ulaanbaatar Office of Social Welfare is preparing to implement a Food Bank Programme in 2020, which will target abandoned people with no identification documents. This is a joint programme between the Korean Ministry of Welfare and the Mongolian Department of Welfare;

- Two Government programmes are available for alcoholics: 1) access to welfare services in the form of accommodation between March – October, food and support with identification documentation for registered alcoholics. Only 860 people are considered “registered alcoholics” in UB, so this likely underestimates the scale of the problem of alcoholism. 2) The second programme is run by the police and is called “Way to go Home”. Effectively, alcoholics who are arrested for alcoholism will then be placed in a hospital so they can receive treatment for their alcoholism.

- Alcoholics can also receive support from more than 15 organisations around UB which are focussed on rehabilitation programmes. One of the best organisations is considered to be “Ulziit Asar” which is run by a couple who were formerly alcoholics themselves. In speaking with this couple it became apparent that while there is no cost to the participant to join the rehabilitation programme, they must come and stay of their own free choice. Ulziit Asar is located relatively close to MDDS.

- Women who are victims of domestic violence can seek shelter in temporary women’s shelters in undisclosed locations around the city. Access to the shelters is available to any women of Mongolian citizenship but only for three months.

- People who are homeless may be eligible for social welfare (from the City of Ulaanbaatar) in the form of a ger. The ger is valued at 1.2 million MNT and the ger is provided directly to the beneficiary family (the family has to provide the land for the ger). Households / individuals eligible for this support include: ex-prisoners on release from jail; orphans under the age of 18 years; and victims of domestic violence.

7.1.2 ENTITLEMENT MEASURES FOR WASTE BUYERS

Entitlements related to livelihood restoration measures put in place to support waste buyers impacted by the cessation of waste picking activity at MDDS will need to be reviewed when additional detail regarding waste purchasing arrangements in the future are defined by the PIU. At the time of writing this LRP, the following measures are anticipated:

- Lumpsum support payments being made to the waste pickers – Given the number of waste pickers who have taken out a loan with waste buyers, the lumpsum support payment paid to the waste picker households is expected to significantly benefit the waste buyers;

- Access to a small business counselor – Waste buyers will be provided with access to a small business counselor to help them re-orient their business or develop an alternative business to adjust to the changing waste market;

22 To become a “registered alcoholic” an alcoholic must first be arrested for drunkenness.
7.1.3 **Entitlement Measures for Waste Pickers at NEDS and TDDS**

The final group of affected people are the waste pickers at NEDS and TDDS. It is estimated (by LCSD) that approximately 300 waste pickers work at the two dumps. These waste pickers will be affected by the cessation of CDW dumping at NEDS and TDDS after the CDW recycling plant is established at MDDS. Based on the data collected from a sample of waste pickers at the two dumps in 2019, CDW waste comprises anything from zero to 50% of income for waste pickers at these sites, with a median of between 20-30%. Given the fluidity of waste pickers at all sites and the large numbers involved it will not be possible to compensate waste pickers at NEDS and TDDS at an individual level. Instead, a communal approach is proposed. This will avoid challenges around eligibility and undertaking a detailed census of NEDS and TDDS.

Ideally, the communal compensation approach should address the income loss which these waste pickers will experience, i.e. it should seek to restore livelihoods. However, identifying effective and implementable livelihood restoration options which would be beneficial to 300 individuals is not considered highly likely. As such, communal compensation which seeks to increase forms of capital outside of financial capital has been considered. Representatives from the LCDS at NEDS identified potential for the development of a shower block and washing facilities, similar to something which was provided for waste pickers on a waste dump visited during the 2018 study trip to Germany.

The design of a shower block and washing facility area will need to be addressed with caution to ensure it provides safe access for all waste pickers. At the time of preparation of this LRP, the details for what could be constructed have not yet been developed, however for the purposes of the LRP budget and entitlements matrix, it is assumed a communal shower block and washing facility will be constructed at both NEDS and TDDS, accessible to all waste pickers.

Options to support NEDS and TDDS waste pickers to access existing social services should also be investigated.

7.2 **Entitlements Matrix**
<table>
<thead>
<tr>
<th>Displacement Category</th>
<th>Affected Person Category</th>
<th>Type of project impact</th>
<th>Number of Affected Individuals (based on August 2019 baseline with a 20% contingency)</th>
<th>Entitlements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Accommodation Related Losses</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A</td>
<td>Informal waste pickers who live at the MDDS and have no other place to live</td>
<td>Physical displacement - Loss of improvised shelters and assets</td>
<td>None</td>
<td>Identify alternate housing options which are accessible to these households. Support households to become eligible for this housing and assist in the relocation of households to a new location. Ensure households can pay for the accommodation on a sustainable basis. OR Identify land and acquire it for each household and provide a basic permanent structure with access to basic necessities.</td>
</tr>
<tr>
<td><strong>Income Related Losses</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C</td>
<td>All waste pickers households</td>
<td>Economic displacement - Loss of access to resources leading to the displacement of income</td>
<td>40 households</td>
<td>- Support registration process by assisting people with no ID to become registered - Medical treatment in case of serious illness and contagious disease acquired due to waste picking activity - Provide access to psychologist/social worker to help people re-orient their lives and become more capable of gaining work and supporting their own livelihoods (see themselves as the “same” – build their self-image) - One-off lumpsum support payment for all waste picker households. Assume value of 750,000 MNT per household.</td>
</tr>
<tr>
<td>C</td>
<td>All waste picker households excluding students collecting waste only during school holidays</td>
<td>Loss of access to resources leading to the displacement of income</td>
<td>40 households</td>
<td><strong>People seeking new work opportunities</strong> - Transition payment of 2 months median waste picker household income of 40,000 MNT / day for 7 days /week to allow people time to find a new job</td>
</tr>
<tr>
<td>Displacement Category</td>
<td>Affected Person Category</td>
<td>Type of project impact</td>
<td>Number of Affected Individuals (based on August 2019 baseline with a 20% contingency)</td>
<td>Entitlements</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Provision of training opportunities to one waste picker per waste picker household to give construction / watchmen / cooks / etc workers specialist skills</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- LRP implementing party to provide introductions to other companies to see if they have jobs available for waste pickers</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Provision of “job preparation support” (cv writing, interview preparation)</td>
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<tr>
<td></td>
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<td></td>
<td>- Priority consideration for new jobs at the recycling facility and landfill cell, although greatest priority will be awarded to waste pickers aged 50 years or over</td>
</tr>
<tr>
<td>OR</td>
<td></td>
<td></td>
<td></td>
<td>People Planning to Retire:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Transition payment 2 months median waste picker household income of 40,000 MNT/day paid out at 50% rate (ie 20,000 MNT / day over 4 months)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Provide assistance in accessing social benefits and service</td>
</tr>
<tr>
<td>OR</td>
<td></td>
<td></td>
<td></td>
<td>People seeking to set-up new businesses / expand businesses:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Provision of 1 month of transition payment (assume 40,000 MNT/day for 7 days / week)</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Provision of business small-grants to help businesses become established (at an amount not to exceed 1 month @ 40,000 MNT/day)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Arrangements for payment schedules to be determine in consultation with affected households.</td>
</tr>
<tr>
<td>C-1</td>
<td>Students collecting waste on school holidays</td>
<td>Economic displacement – Loss of access to resources leading to the</td>
<td>1 student</td>
<td>Students planning to return to school:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Provision of 2 weeks transition payment to support them to buy clothes and school tuition fees (@ 40,000 MNT /day)</td>
</tr>
<tr>
<td>Displacement Category</td>
<td>Affected Person Category</td>
<td>Type of project impact</td>
<td>Number of Affected Individuals (based on August 2019 baseline with a 20% contingency)</td>
<td>Entitlements</td>
</tr>
<tr>
<td>----------------------</td>
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</tbody>
</table>
| **C**                | Vulnerable households    | Economic displacement - Loss of access to resources leading to the displacement of income | **10 households** | In addition to the measures above:  
- Support households to apply for any additional government welfare scheme they may be eligible for  
- Provide additional food and utility support in the order of 100,000 MNT / month for 6 months  
- Support tuition fees for children to finish technical school. |
| **C**                | Waste pickers who are aged 50 years or older | Economic displacement – loss of access to resources leading to the displacement of income | **12 individuals** (spread across 11 households). 4 of these individuals are already classified as “vulnerable” in the category above. | In addition to the measures above:  
- Individuals who are 50 years or older will receive the highest priority for jobs at the new landfill and CDW recycling plant. |
| **D**                | Waste pickers at NEDS and TDDS who pick construction and demolition waste | Economic displacement – loss of construction and demolition waste from NEDS and TDDS reducing income levels for waste pickers at those sites | **300 individuals** | Measures to be developed in consultation with LRP Implementing party but could potentially include:  
- Construct a communal shower block and washing facility at both NEDS and TDDS to allow safe access to hygiene for all waste pickers.  
- Improve safety conditions in NEDS and TDDS (and MDDS for as long as waste pickers are actively working there) by providing PPE to waste pickers at no cost to them. |
| **E**                | Waste Buyers             | Economic displacement – loss of business opportunity as waste buying opportunities for all types of waste cease once waste picker | **3 individuals** (plus two members of extended family) | Measures to be developed in consultation with affected waste buyers but expected to include:  
- Access to small business counselors to assist the waste buyers to develop new and adapted business models;  
- Compensation for loss of business for a month long period (transition period); |
<table>
<thead>
<tr>
<th>Displacement Category</th>
<th>Affected Person Category</th>
<th>Type of project impact</th>
<th>Number of Affected Individuals (based on August 2019 baseline with a 20% contingency)</th>
<th>Entitlements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>access ceases at MDDS.</td>
<td>- Potential indirect beneficiaries of lumpsum support payments payable to waste picker households.</td>
<td></td>
</tr>
</tbody>
</table>
7.3 Eligibility Criteria

The fluidity of waste pickers and the informal nature of their income generation make determining eligibility somewhat challenging. In principle, all waste pickers who have collected waste for a period of at least 2 months in the 12 months prior to the “cut-off date” will be eligible for compensation, as defined in Table 7-1. However, establishing a robust “list” of eligible waste pickers will likely present some challenges. The following approach is proposed:

- The “cut-off date” for eligibility will be triggered two months prior to restriction of access being implemented;
- Working backward from the cut-off date, all waste pickers who have been surveyed and recorded as working at MDDS for an extended period (2 months or more) in the 12 months prior to the cut-off date will be eligible for compensation;
- In order to develop “lists of eligible waste pickers”, it is proposed that LCSD commence collecting the names, identity numbers and telephone details of every waste picker reporting to MDDS on a daily or weekly basis (to be determined) in the 12 months leading up to the cut-off date. Using these lists of names, identity numbers and telephone details, a list of waste pickers who are eligible for compensation will be able to be compiled. All of the individuals considered eligible based on the lists will then need to be contacted in order to complete the full baseline data questionnaire (by phone if not available in person) a minimum of 2 months prior to cessation of access.
- The additional baseline survey data which will need to be collected (based on the eligibility lists) should use the existing database of waste picker data collected in 2019 as the basis for the survey. All new waste pickers should be recorded (using the survey form in Appendix A);
- Through collecting “lists of waste pickers” on a regular basis across a twelve month period, the LCSD will also be able to determine how much variation in the number of waste pickers occurs across the seasons;
- In the event that waste pickers don’t have a mobile phone number, they should be asked by LCSD to provide alternate means of contacting them, so they can be reached when the baseline questionnaire needs to be completed prior to Project construction commencing;
- When the timing of the implementation of the Waste Modernization Project is confirmed, and the final cut-off date is established, a final survey (based on the eligibility lists) will be conducted.

A cut-off date is typically applied to a singular day on which eligibility is determined. Such an approach is not appropriate for a group as transient as waste pickers. In reality, the approach being proposed adopts an extended (twelve month) “eligibility” period, and the final cut-off date only marks the conclusion of eligibility. Setting the cut-off date two months in advance of the implementation of access restrictions is proposed in order to find a balance between waste picker interest and a sufficient amount of time to implement livelihood restoration measures before economic impacts are felt. If the final cut-off date is established too early, it will be difficult to solicit the interest of waste pickers in livelihood restoration activities, and if it is established any later, it will not be possible to coordinate a number of the planned livelihood measures.
Waste pickers (and waste buyers) starting to work at the MDDS after the cut-off date, with no previous history of working as a waste picker at MDDS (i.e. no record of having been recorded by LCSD on the eligibility lists to be generated in their 12 months prior to cessation of access) prior to the cut-off date, will not be eligible for compensation and participation in the livelihood restoration activities.

8 Institutional Arrangements

At the time of preparation of this LRP, the institutional arrangements surrounding the implementation of the Project and the livelihood restoration aspect, in particular, remain unclear. Responsibility for the implementation of the Project is understood to rest with the PIU. The PIU was formally appointed in late 2019 and is understood to include representation from the following departments:

- City of Ulaanbaatar – Waste Management Department under the Mayor’s Office, Manager Responsible for Collection of Waste and Manager Responsible for three Dump Sites
- Representative of NGO “We Help” which has the contract for auditing MDDS
- Representative from LCSD

It is anticipated that the PIU will comprise between 5-7 people. The PIU Consultant is CECT Infrastructure Consultancy Ltd and their contract commenced on October 1st, 2019.

Responsibility for ensuring the effective implementation of the LRP is understood to rest with the PIU and the PIU Consultants. However, the actual implementation of the measures outlined in the LRP are expected to require skills and time not currently available to the members of the PIU. The best option to address this gap will be the identification of consultancy with experience in livelihood restoration in Mongolia, working with an NGO / CSO who could work closely with the waste pickers of MDDS (in particular) in an intensive format for a period of no less than six months (3 months prior to cessation of waste picker access to MDDS, and 3 months afterwards). This group would be responsible for undertaking the additional baseline surveys (drawing on the list of names generated by LCSD) to generate a final list of eligible waste pickers (as defined in Section 7).

Social specialists have been identified and budgeted for in the LRP to undertake training, psychological support, etc, however the proposed NGO / CSO / consultancy would ensure that all the activities identified in the LRP are being implemented on time and in the intended manner.

Either the same consultancy / NGO / CSO partnership or another will also need to take the lead on the monitoring and evaluation activities described in the LRP.

9 Public Consultation and Grievance Redress

9.1 Stakeholder Identification and Analysis
The goal of stakeholder analysis is to identify each stakeholder group, describe their role and responsibility in the Project, and present opportunities for engagement with these stakeholders. Table 9-1 provides a summary of the identified stakeholder groups.

Table 9-1 Stakeholder Identification

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Description</th>
<th>Primary interest / concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>External Stakeholders</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Asian Development Bank (ADB)</td>
<td>ADB is developing a food waste management programme which will be applied in Ulaanbaatar. It will be piloted in 5 Khoroo in 2019-2020 with the objective of establishing composting systems for food waste.</td>
<td>Food waste management</td>
</tr>
<tr>
<td>Japan International Cooperation Agency (JICA)</td>
<td>JICA developed the Study of Solid Waste Management for UB between 2004 – 2007 and implemented a project design to strengthen the capacity for solid waste management in UB City between 2009 – 2012.</td>
<td>Storage capacity and management of solid waste facilities</td>
</tr>
<tr>
<td>Korean International Cooperation Agency (KOICA)</td>
<td>KOICA constructed a municipal solid waste recycling facility at NEDS in 2015. Unfortunately, this facility subsequently burnt to the ground and no long functions.</td>
<td></td>
</tr>
<tr>
<td>Mongolian National Recycling Agency (MNRA)</td>
<td>The MNRA was established in 2005 and reports having more than 200 waste buyers as members of its organisation. MNRA is leading the Waste Recycling Industrial – Technological Eco-Park Project in Ulaanbaatar. The Eco-Park Project, when established, will see the development of 20 waste recycling plants as well as the implementation of waste sorting and recycling plants at NEDS and TDDS. As of August 2019, three plastic processing facilities were being constructed, with the first to be completed located at NEDS. MNRA does not directly coordinate the collection of waste from neighbourhoods, and as such, no obvious opportunities exist for former MDDS waste pickers to participate in the Eco-Park scheme. The MNRA is keen to work with other partners on food waste management in particular.</td>
<td>Plastic processing and recycling and potential future initiatives related to food waste.</td>
</tr>
<tr>
<td>United Nations Environment International Environmental technology Centre (IETC)</td>
<td>This group was primarily responsible, in collaboration with UB City, for the development of the UB Waste Management Improvement Strategy (2017-2030)</td>
<td></td>
</tr>
<tr>
<td>GIZ</td>
<td>GIZ Urban Nexus Project coordinated a study visit for representatives of the City of Ulaanbaatar (including LCSD) and the National Development Agency to travel to</td>
<td></td>
</tr>
<tr>
<td>Organization</td>
<td>Description</td>
<td>Relevant Information</td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>OT Watch</strong></td>
<td>OT Watch maintains an interest in all EBRD financed projects in Mongolia. They raised some questions about the livelihood restoration of waste pickers in advance of the 2018 EBRD Annual General Meeting. OT Watch has also worked with Development Alliance to undertake a survey of TDDS in 2017 in relation to a project on “resource justice and women”.</td>
<td>Their primary concerns are to ensure that any waste management project incorporates waste pickers into project activities. They are also interested to understand the relationship between herder debt in the countryside and waste picking activities in UB. Finally, they are keen to ensure that the Project is undertaken in accordance with EBRD’s Performance Requirements.</td>
</tr>
<tr>
<td><strong>Development Alliance NGO</strong></td>
<td>Development Alliance partnered with the Mongolian Women’s Employment Supporting Federation NGO to work with women at TDDS, with the objective of helping women to transition from being waste pickers to a livelihood outside of the dump. They estimated that it takes between 2-5 years to support an individual to get out of working at the dump. A major component of their approach is the use of social work or psychology skills to support women to transition. However in 6 years of work, they succeeded in supporting only 6 women to life beyond TDDS.</td>
<td>The livelihood restoration process for waste pickers, with a focus on the outcomes for women, and future monitoring and evaluation.</td>
</tr>
<tr>
<td><strong>Mongolian Women’s Employment Supporting Foundation NGO</strong></td>
<td>Partnered with Development Alliance to undertake the work described above at TDDS. Focussed on development issues affecting women’s employment in Mongolia.</td>
<td>Interested in supporting female waste pickers to transition out of picking waste into formal employment or other opportunities.</td>
</tr>
<tr>
<td><strong>Mongolian Women’s Fund (MONES)</strong></td>
<td>Established in 2000 as a Mongolian national grant-making entity to support women’s empowerment. Has distributed over 1.5 billion tugriks to 375 projects since establishment.</td>
<td>Empowerment of women.</td>
</tr>
<tr>
<td><strong>City of Ulaanbaatar – Office of Social Welfare</strong></td>
<td>The Office of Social Welfare is responsible for the application of all 72 forms of social welfare in UB. While eligibility for many forms of social welfare is determined at the Khoroo level, the City of Ulaanbaatar Office of Social Welfare has oversight of all social welfare initiatives and leads to new program implementation. The Social Welfare Department seeks to connect citizens to other projects and NGOs. They also conduct poverty surveys every 3-4 years to determine poverty levels. The last survey was conducted in 2017 and the next survey is planned for 2020.</td>
<td>Interested to see a transition from cash payments to non-cash based welfare / support.</td>
</tr>
<tr>
<td><strong>Ulziit Azar</strong></td>
<td>Rehabilitation centre for alcoholics in UB.</td>
<td></td>
</tr>
</tbody>
</table>

24 https://mones.org.mn/about-us/
### Internal Stakeholders

<table>
<thead>
<tr>
<th>Project Implementation Unit</th>
<th>Responsible for the implementation of the Waste Modernization Project.</th>
<th>Project implementation, schedule and budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Implementation Unit Consultant</td>
<td>The Consultant’s role is to facilitate the timely and effective implementation of the Project by rendering assistance to the LCSD and the City of Ulaanbaatar, as the ultimate assets owner, in the implementation of the Project, including design, all aspects of procurement, disbursement and contract administration.</td>
<td>Procurement processes and Project implementation</td>
</tr>
<tr>
<td>Cowi International</td>
<td>The consultancy appointed to undertake the environmental and social impact assessment for the Project.</td>
<td>Environmental and social impact assessment</td>
</tr>
<tr>
<td>LCSD</td>
<td>In addition to being involved in the implementation of the Waste Modernization Project, LCSD workers will also be affected by the Project as employment opportunities will expand and also change.</td>
<td>On-going management of the dump sites and impacts to existing activities.</td>
</tr>
</tbody>
</table>

### Affectd Stakeholders

| MDDS Waste Pickers | There is no formal organisation of waste pickers at MDDS and as such, smaller collective groups of friends or waste pickers with similar experiences will need to be formed. Engagement with waste pickers will need to rely upon smaller groups as well as larger planned meetings to ensure good effective coverage of waste pickers. | Loss of income |
| MDDS Waste Buyers | There is no formal organization of MDDS waste buyers, however with only 3 waste buyer families, all of whom have registered with LCSD, it is relatively straight-forward to contact and engage with this group. | Loss of income / business |
| Waste Pickers Working at NEDS and TDDS | There is no formal organisation of waste pickers at TDDS and NEDS and as such, any communication with these groups of waste pickers will need to be coordinated through the LCSD management for each site. | Loss of income from construction waste and a potential influx of new waste pickers from MDDS |
| 12 Khoroo Administration | The Governor of Khoroo 12 and the social welfare team working in this district are keenly interested in the progress of the Waste Modernization Project. They are specifically concerned about the potential for increased dust or changes to air quality and how this might impact other businesses in the area, and the potential impact of an increased level of unemployment in their community. | Dust and increased unemployment in their Khoroo |

### 9.2 Previous Stakeholder Engagement

While limited formal consultation on the Project has taken place to date, the plans of upgrading the facility through the construction of a new landfill and development of a
CDW Recycling Plant are familiar to many internal and external stakeholders. A summary of the formal engagements held to date in relation to livelihood restoration aspects of this Project is provided in Table 9-2.

Table 9-2 Previous Stakeholder Engagement

<table>
<thead>
<tr>
<th>Date</th>
<th>Organisation (individual)</th>
<th>Purpose of Meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monday 31st July 2017</td>
<td>UB City Governor’s Office (Mrs Mungunzul, Specialist and Landscaping and Maintenance Department)</td>
<td>Introduction and information gathering in relation to anticipated timelines for the MDDS modernization project</td>
</tr>
<tr>
<td>Monday 31st July 2017</td>
<td>Mongolian National Recycling Association (MNRA) (Mr Byambasaikhan (President), Mr Batjargal (CEO) and Mrs Tsendmaa)</td>
<td>Information gathering in relation to the MNRA association membership of waste pickers and initiatives led by MNRA for waste pickers in UB City.</td>
</tr>
<tr>
<td>Tuesday 1st August, 2017</td>
<td>LCSD – based at Moringiin Davaa Dump Site, Mr Enkhbayar, MD Specialist</td>
<td>Introduction to the MDDS LCSD team and initial visit to the dump site. Mr Enkhbayar facilitated the first introduction to a small group of waste pickers and explained the purpose of the livelihood survey. Arrangements were also agreed regarding the safety of the fieldwork team.</td>
</tr>
<tr>
<td>Monday 7th August, 2017</td>
<td>Governor for Khoroo 12 (Mrs Dolgor)</td>
<td>Introduction of work programme and socio-economic data collection on Khoroo 12</td>
</tr>
<tr>
<td>Wednesday 9th August, 2017</td>
<td>LCSD (based at NEDS) (Mr Purevdorj, Specialist)</td>
<td>Introduction and discussion around anticipated access restrictions and nature of impact to waste pickers</td>
</tr>
<tr>
<td>Tuesday 1st – Tuesday 8th August 2017</td>
<td>MDDS Waste Pickers (69 waste pickers) and waste buyers (2)</td>
<td>Introduction to the Project through a brief description at the same time as conducting the livelihoods survey</td>
</tr>
<tr>
<td>2019</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5th August 2019</td>
<td>City of Ulaanbaatar -Office of Social Welfare (Mrs Otgonjargal Byamba (Deputy Director))</td>
<td>To explain the Project and better understand the nature of the social welfare services which the waste pickers may be entitled to.</td>
</tr>
<tr>
<td>6th August, 2019</td>
<td>PIU representatives (2 from Waste Management Department and one from NGO “We Help” which has the contract for auditing MDDS waste facility) (Mrs Mungunzul (Officer in Charge of Special Waste) Mr Enk-Angal (Officer in charge of Waste Recycling Factor and all 3 dumps sites in UB) Mrs Enkhjargal)</td>
<td>Meeting with 3 representatives from the PIU to discuss the planned fieldwork and seek to identify who the counterparts could be for the LRP.</td>
</tr>
<tr>
<td>6th, 7th, 11th and 12th August 2019</td>
<td>MDDS Waste Pickers (51 waste pickers)</td>
<td>Introduction to the Project through individual discussions and coordinated group discussions (with assistance from LCSD). Project context explained to every waste picker as interviews</td>
</tr>
</tbody>
</table>
During the stakeholder engagement activities conducted to date, the following observations have been made:

- Significant survey fatigue and Project fatigue exists amongst the waste pickers and waste buyers. This appears to have been caused by a number of surveys conducted. “Messages to Share” attached as Appendix C formed the basis of the discussion points with waste pickers.
(including those associated with this Project amongst others), documentaries, and other initiatives which have visited with and interviewed waste pickers but will little follow-up or change resulting from these interactions. A number of waste pickers consider every minute they spend at MDDS to be a minute where they could be earning money, hence any delay or distraction from that objective is seen as a direct impact on their income earning potential for the day;

- In 2017, there was some reluctance among a small group of waste pickers to have their identities recorded either as they hadn’t told their families they were waste picking (mostly applied to students) or they were hiding for some other reason. This concern was not apparent in 2019;

- The lack of clarity around the proposed timing of the implementation of the MDDS Waste Modernization Project has caused some stakeholders to become skeptical about its likelihood of being implemented. A number of waste pickers commented that similar plans were first discussed ten years ago with the objective of transitioning all waste pickers to alternative income generating options, but that nothing was implemented. One waste picker, in 2019, also responded that rather than identifying alternative livelihoods which she could pursue, she instead felt that the waste pickers would protest if their access to MDDS was prohibited.

Figures 9-1 – 9-5 illustrate some of the meetings which were conducted in 2019.

Figure 9-1 MDDS

Figure 9-2 MDDS - Explaining the Project and Interviewing
9.2.1 **PIU WORKSHOP – 6 NOVEMBER 2019**

On 6\textsuperscript{th} November 2019, a workshop was held with representatives from the PIU, the PIU Consultant, the EIA consultant, EBRD and Shared Resources Pty Ltd. The purpose of the workshop was for Shared Resources to provide an overview of the findings from the fieldwork conducted in August 2019, present the proposed entitlements and eligibility frameworks for the affected waste pickers and waste buyers, and discuss the implementation arrangements for the LRP (budget, schedule and resources). One week prior to the workshop, all anticipated participants received either the full English language version of the draft LRP, or a truncated Mongolian version of the draft LRP (focussed on the eligibility, entitlements, budget, schedule and implementation aspects of the document). A list of participants is included in Appendix E.

Key issues raised during the workshop are summarised below:

- Reliability of data;
- Trend in waste picker numbers;
- Children present on the waste dumps;
- Vocational training and job opportunities;
- Migration from MDDS to TEDS / NEDS;
- The role of the Social Welfare Department;
- Budget and schedule considerations;
• Timing of access restrictions; and
• Responsibility for the implementation of the LRP.

9.2.2 NGO / CSO WORKSHOP – 7 NOVEMBER 2019

On 7th November, 2019, a workshop was held with representatives of NGOs and CSOs operating in Mongolia with an interest in the livelihood restoration plans for affected waste pickers. Participants from organisation known to be interested in the project were individually invited and advice was sought from OT Watch on additional representatives who may be interested in participating. The registration list for the Workshop can be found in Appendix F.

In advance of the presentation, the truncated version of the draft LRP had been shared with the anticipated workshop participants. The truncated version of the draft LRP did not include much detail on the baseline data collected by Shared Resources, and as such, the workshop commenced with Shared Resources presenting a summary of relevant baseline data to the workshop participants. The purpose of the workshop was to solicit experience and feedback from the NGOs / CSOs on the proposed eligibility and entitlement measures contained within the draft LRP. During the workshop, the following issues were raised and discussed:

• Baseline data collection period;
• Timing of baseline data collection;
• Payment of transition allowances at a household level;
• Compensation versus and transition allowance;
• Vulnerable women with many children;
• Vocational training;
• Small business allowance;
• Institutional capacity;
• Collective activities;
• Welfare allocation at the Khoroo level; and
• Registration of waste pickers.

9.3 Planned Future Stakeholder Engagement Programme

Effective, informed and participative stakeholder engagement is critical for the implementation of this LRP. The engagement approach needs to balance three potentially conflicting objectives:

• To allow sufficient knowledge and time for waste pickers (and waste buyers) to utilise the support offered through the livelihood restoration activities to identify alternative income generating opportunities prior to the cessation of MDDS (or immediately afterwards); and
• To minimise the risk of opportunistic in-migration of new or additional waste pickers seeking to benefit from the proposed entitlements; and
• To recognise that there will likely be limited interest amongst waste pickers or time available from waste pickers to participate in livelihood restoration activities prior to the cessation of access to MDDS. It is anticipated that many waste pickers will seek to work as much as possible in the final days of access to secure as much income as possible.
In the LRF, it was proposed that a representative group of MDDS Waste Pickers be established with whom the LRP implementing party could engage to refine the details of the LRP and support its implementation. Further engagement in 2019 indicates that it will be difficult to establish a single representative group for the MDDS waste pickers for a number of reasons:

- As indicated in the Socio-Economic Baseline, there is considerable variation amongst waste pickers, with only one parameter consistent among all waste pickers – that they come to MDDS to collect waste. When the waste pickers are at the dump site they consider they are there to work and some resent or object to any distractions from that activity. This makes group meetings or discussions at MDDS challenging/impractical;
- While most MDDS waste pickers live in Khan-Uul, in 12 Khoroo, there is no specific geographic area in which all waste pickers are concentrated. While some waste pickers clearly live in proximity to each other, it is also clear that many others live completely independent of each other, with limited to no interaction with other waste pickers outside of time spent at MDDS; and
- The transient nature of the waste picking community makes the establishment and maintenance of any representative group difficult.

The waste pickers can, however, broadly be grouped into smaller groups of similar interests / characteristics. These are tentatively described as:

- Young and middle aged adults / couples (many with large families) who are prepared to look for alternative income opportunities when access to MDDS ceases. In most cases these individuals have finished secondary school and would be able to participate in training or apply for non-skilled jobs;
- Waste pickers who are fifty years of age or older, who are likely to find it difficult to secure formal employment due to age discrimination in the Mongolian workforce. As noted in the discussion of Entitlements (Section 7), these individuals should receive the highest preference for any new jobs at LCSD;
- The “freedom group” who often have very limited formal education, and may have existing challenges with alcoholism or other health issues. This group will also find it very difficult to find formal employment and may need support to secure assistance through social welfare; and
- Students collecting waste during holiday periods.

The following formats are proposed for engagement with waste pickers at MDDS:

- Engagement with small groups of waste pickers who have similar life experience or aspirations and who appear to be friends / colleagues. This approach worked during the 2019 survey period and is also consistent with the approach used by Development Alliance NGO at TDDS in the past;
- Preparation of briefing notices which can be posted at the LCSD weighing station and handed out by LCSD staff as necessary;
- Coordination of a series of “event days”. These “event days” will provide a venue for a variety of activities and will be designed to attract waste pickers to participate. It is proposed that a minimum of three “event days” be held on land next to the MDDS LCSD office, during which time the following activities / services will be provided:
A hot lunch will need to act as the main enticement for waste pickers to participate in the “event day”;
o Registration of interest in training options, interest in gaining support with the preparation of a CV; interest in network connections for future jobs;
o Social welfare checks to ensure individuals and households are receiving the benefits they are entitled to and support in registering them for any additional benefits;
o Health checks provided by local Hospital staff; and
o Provision of the services of a psychologist to work with waste pickers to help them consider their future options and gain confidence in how to achieve those options.

- Ongoing support from psychologist / social worker visiting MDDS in the last few weeks prior to the cessation of access and continued availability on a regular schedule at the LCSD office at MDDS after access has been curtailed for three more months.

Further details on the proposed timing and schedule of these engagements is provided in Table 11-1.

In addition to direct engagement with waste pickers, the following steps are proposed for engaging with both internal and external stakeholders:

- PIU Workshop to discuss the LRP – A half-day long workshop is planned with the members of the PIU, the PIU Consultant and other interested parties to discuss the draft LRP and review options for its implementation. The purpose of this workshop will be to review the principles the livelihood restoration programme needs to achieve, to come to an agreement on the proposed entitlement measures, and address the practicalities of implementing the LRP and subsequent monitoring and evaluation.

- NGO / CSO Workshop to discuss Livelihood Restoration options – During this workshop (proposed for early November 2019), NGOs and CSOs with an interest / involvement in support for waste pickers as they transition from working at MDDS to other forms of income generation will be invited to participate. The purpose of the workshop will be to discuss the plans outlined in the Draft LRP and refine / modify them based on discussion and feedback during the workshop. Ideally, this workshop will also provide an opportunity to identify partners with whom the PIU can work to support the implementation of the LRP;

- Once the LRP is considered final, another workshop will be held with the PIU and the PIU Consultant to confirm next steps, timeline and budgets for the LRP.

Disclosure of Information

Once the project timeline has been clarified, project documentation will need to be made available to all of the internal and external stakeholders identified above. The level of detail should allow stakeholders to understand how and when they will be impacted and the entitlements available to them to support them to manage these impacts. This could potentially take the form of an expanded set of “messages to share” illustrated in Appendix C. Given the literacy challenges for a small group of waste pickers it will be important that all waste pickers have the opportunity to both read and hear the key information related to this Project and how it will impact them.
The workshops identified above will act as a form of information disclosure for the LRP, as the key elements proposed within the draft document will be shared with the participants of both workshops. Furthermore, the LRP will be made publicly available when it is finalised and will be disclosed either on the City of Ulaanbaatar website or on the EBRD website, amongst others. Copies of the LRP will also be made available at the PIU for interested parties. It will be available in both Mongolian and English.

In addition to impact specific documentation for project affected people, project information will also need to be shared with local administrators and local businesses to ensure they understand the plans for MDDS and are consulted on how the plans are implemented. Of key importance from a livelihood restoration perspective will be engagement between LCSD (on behalf of the waste pickers) and local businesses to assist waste pickers to find alternate employment opportunities.

9.4 Grievance Mechanism

At all times, project affected people will need to have access to a grievance mechanism, as described below. It is proposed that the grievance mechanism forms and “lodgement box” be located at the LCSD weighing station building in front of MDDS. It will be the responsibility of a specified LCSD employee to review grievances received in the Lodgement Box and instigate actions to address concerns and respond to the grievant as appropriate.

A grievance mechanism will be established to accept all comments and complaints associated with the MMDS Waste Modernization Project, with a specific focus on concerns in relation to affected sources of livelihoods and their restoration. A sample of a Grievance form is provided at the end of this document (see Appendix D). The grievance mechanism will need to be implemented by LCSD and all comments and complaints will be responded to either verbally or in writing, in accordance with the preferred method of communication specified by the complainant, if contact details of the complainant are provided. The grievance mechanism should be implemented as soon as this LRP is finalised.

Any person or organisation will be able to provide comments and/or complaints in person, by phone or via post or email using the contact information provided at the end of this section.

All written and verbal grievances will be registered and acknowledged within 3 working days and responded to within 10 working days of receiving the grievance. Individuals who submit their comments or grievances have the right to request that their name be kept confidential. Responses to grievances will also be logged in the same register.

LCSD, in coordination with the PIU, will monitor the way in which grievances are being handled and ensure they are properly addressed within deadlines specified above.
10 Monitoring and Evaluation

Monitoring and evaluation is a critical component of resettlement management. Essentially, it is through monitoring and evaluation that it will be determined whether the implementation of the LRP has met its objectives of restoring or potentially improving the livelihoods of affected people. Ideally, the indicators used in the collection of baseline data can be used when re-measuring livelihoods post displacement to allow a comparison to be drawn. In this case, such an approach will be made challenging by the wholesale change in the basis of livelihoods which will be undertaken. Many waste pickers earn comparatively high incomes when compared to other non-skilled employment opportunities. Replacing the lost income from waste picking with an equivalent income from a formal job is unlikely for many waste pickers. However, the balance of livelihood conditions before and after displacement needs to consider a greater variety of factors, beyond income in isolation. Some of the considerations are highlighted in Table 10-1.

Table 10-1 Waste Picker Livelihood Characteristics

<table>
<thead>
<tr>
<th>Waste Picker Livelihood Characteristics</th>
<th>Before Displacement</th>
<th>After Displacement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Financial Income</strong></td>
<td>Median of 40,000 MNT per day per waste picker household</td>
<td>Unlikely to find any formal employment with an equivalent salary. Standard monthly salary ranges for low-skill work are likely in the order of 700,000 – 1 million MNT / month</td>
</tr>
<tr>
<td><strong>Health and safety</strong></td>
<td>Poor health and safety conditions at the dump site</td>
<td>Reduced exposure to hazardous working conditions</td>
</tr>
<tr>
<td><strong>Alcoholism</strong></td>
<td>Alcoholism is a major problem for a subset of waste pickers, limiting their ability to participate in other activities.</td>
<td>Gaining work in the formal sector is likely to decrease social stigmatisation</td>
</tr>
<tr>
<td><strong>Social stigmatisation</strong></td>
<td>While only raised by a few waste pickers, it is acknowledged by most that picking waste attracts social stigma in Mongolia, with consequences for social relationships and for the children of waste pickers</td>
<td></td>
</tr>
<tr>
<td><strong>Social well-being</strong></td>
<td>A number of waste pickers indicated that they did not feel capable of / eligible to conduct other types of work, reducing their sense of self-worth</td>
<td>Participating in training and hopefully gaining employment, and working with a psychologist will hopefully allow waste pickers to develop greater personal confidence</td>
</tr>
<tr>
<td><strong>Security</strong></td>
<td>Waste pickers have no security of income, although most believe that the more they work the more they can earn.</td>
<td>While incomes are likely to be lower in formal employment, waste pickers will have increase security of income and protection in case of illness or disability.</td>
</tr>
</tbody>
</table>

Once waste pickers have ceased coming to MDSDS, likely the only means of contacting them to follow up on their progress post displacement will be through phone calls and
potentially through visits to 12 Khoroo in Khan-Uul if pre-arranged with the Governor of the Khoroo. Recognising these limitations, a series of input, output and outcome indicators have been defined in Table 10-2.

**Table 10-2 Proposed Indicators**

<table>
<thead>
<tr>
<th>Indicator Type</th>
<th>Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Input</td>
<td>Compilation of a comprehensive “list of eligible waste pickers”</td>
</tr>
<tr>
<td></td>
<td>Registration of all eligible waste pickers in one of the options for livelihood restoration (as defined in the Entitlement Matrix) through the “event days”</td>
</tr>
<tr>
<td></td>
<td>Provision of access for all waste pickers to psychologist</td>
</tr>
<tr>
<td></td>
<td>Payment of partial loan repayments</td>
</tr>
<tr>
<td>Output</td>
<td>All waste pickers have valid identification documents at the time of displacement</td>
</tr>
<tr>
<td></td>
<td>Number of training courses attended by waste pickers</td>
</tr>
<tr>
<td></td>
<td>Number of job interviews coordinated by LCSD / LRP Implementing Party</td>
</tr>
<tr>
<td>Outcome</td>
<td>Number of waste pickers who gain employment with LCSD at modernized MDDS</td>
</tr>
<tr>
<td></td>
<td>Number of waste pickers who have formal employment post displacement</td>
</tr>
<tr>
<td></td>
<td>Number of waste pickers who have established small businesses</td>
</tr>
<tr>
<td></td>
<td>Monthly income earned by waste picker households post displacement</td>
</tr>
</tbody>
</table>

Monitoring of waste pickers will need to be undertaken on a regular basis immediately after displacement, with frequency decreasing over time. In the event that indicator trends are less than positive, additional measures will need to be developed to support waste pickers. An indicative monitoring schedule is provided below:

- Monitoring at the time of Project construction to ensure Project inputs are delivered and to collect a summary of the intentions of each waste picker household (their livelihood option);
- Monitoring on a 3 monthly basis after the cessation of access to MDDS. The first round of monitoring (beginning of month 3) will have provided time for waste pickers to participate in the training and other forms of support outlined in the LRP, and to, hopefully, have secured another form of employment. The beginning of Month 3 will also mark the end of the value of the “second transition allowance” payment\(^{25}\) and as such will provide a good status update on the prospects for the waste picker household.
- Monitoring should reduce to a six monthly basis after the first year, with waste pickers who have successfully transitioned to formal secure employment “graduating” from the group and no longer requiring monitoring.
- Monitoring activities would be expected to conclude when the Modernization Project is complete (assumed to be 3 years time).

**11 Timetable and Budget**

\(^{25}\) It is recommended that the transition allowance be paid in two instalments so as to provide two opportunities to engage with waste pickers and to act as a point of intervention midway through the transition period if it appears the waste picker household is experiencing difficulty.
In this section, a provisional timeline (Table 11-1) and budget (Table 11-2) have been prepared for the implementation of the measures outlined in this LRP. A number of assumptions have been made in both the timeline and the budget, namely:

- The number of waste pickers recorded during the course of the 2019 survey has been inflated by approximately 20% as a contingency to cover additional waste pickers identified in subsequent baseline studies. This contingency may need to be increased given the level of change from 2017 to 2019;
- The budget for consultants/CSO/NGO to implement the LRP and to conduct the baseline survey of all the listed waste pickers 2 months before the cessation of access to the waste dump is captured separately from the presented “compensation budget”;
- The compensation package applicable to the waste buyers is as yet undefined and largely un-budgeted due to the ambiguity about the nature of impacts to this group;
- Definition of the household compensation packages and allowances and preparation of documentation to formalise these agreements has not been allowed for in the budget; and
- The timeline assumes the “transition allowance” be paid in two separate intervals, one month apart, to afford two opportunities to interact with waste pickers post displacement.

Given the high levels of variation amongst waste pickers present in 2017 versus those present in 2019, it will be necessary to complete a comprehensive baseline survey for all the “listed” waste pickers (as per the lists compiled by LCSD workers in the 12 months preceding cessation of access). The number of waste pickers captured in the “lists” will exceed the number of waste pickers present on a daily basis. This work will need to be completed by a team including resettlement specialists and Mongolian speaking consultants, and will need to use the same questionnaire as has been provided in Appendix A.

Given the specialist skills required to deliver the Livelihood Restoration Plan, it is anticipated that a consultancy with experience in resettlement and livelihood restoration in Mongolia be appointed to implement the LRP and conduct the remaining baseline data collection. The consultancy would be expected to collaborate with a Mongolian NGO or CSO. The budget for this implementation work includes both labour and consultancy fee’s and some of the compensation items indicated in the right hand column of Table 11.2, with a total estimated value of €150,000.
Table 11-1 Indicative Project Implementation Timeline

<table>
<thead>
<tr>
<th>Activity</th>
<th>14 months before access restriction</th>
<th>13 months</th>
<th>12 months</th>
<th>11 months</th>
<th>10 months</th>
<th>9 months</th>
<th>8 months</th>
<th>7 months</th>
<th>6 months</th>
<th>5 months</th>
<th>4 months</th>
<th>3 months</th>
<th>2 months (Cut-off Date)</th>
<th>1 month</th>
<th>Project implementation commence - access prohibited</th>
<th>1 month after</th>
<th>2 months after</th>
<th>3 months after</th>
<th>4 months after</th>
<th>6 months after</th>
<th>...</th>
<th>Commencement of operation of CDW facility</th>
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</thead>
<tbody>
<tr>
<td>LCSD collect names of waste pickers on daily / weekly basis</td>
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<td>Support with job introductions, CV, etc</td>
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<tr>
<td>Displacement Category</td>
<td>Affected Person Category</td>
<td>Type of project impact</td>
<td>Number of Affected Individuals (based on August 2019 baseline plus 20% contingency)</td>
<td>Entitlements</td>
<td>Commentary 2019</td>
<td>Indicative Budget for City of Ulaanbaatar</td>
<td>Costs to be captured under the Implementation budget</td>
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<tr>
<td>A</td>
<td>Informal waste pickers who live at the MDDS and have no other place to live</td>
<td>Physical displacement - Loss of improvised shelters and assets</td>
<td>None (however budget kept at 2017 levels – 4 households)</td>
<td>Identify alternate housing options which are accessible to these households. Support households to become eligible for this housing and assist in the relocation of households to a new location. Ensure households can pay for the accommodation on a sustainable basis.</td>
<td>No waste pickers identified as living on MDDS in 2019. However, recommend that allowance be maintained in budget as situation could change between 2019-2020</td>
<td>1 million MNT per shelter Total of 4 million MNT</td>
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<tr>
<td>C</td>
<td>All waste pickers</td>
<td>Economic displacement - Loss of access to resources leading to the displacement of income</td>
<td>61 individuals</td>
<td>- Support registration process by assisting people with no ID to become registered.</td>
<td>Paperwork and logistics</td>
<td>750,000 MNT</td>
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</table>

26 Please note that this budget does not include any allowance for the cost of a consultant or implementing party to implement the LRP over and above the specific tasks identified in the budget. It also provides limited compensation for affected waste buyers as the required compensation can only be determined when the full nature of the impacts to this group are better defined by the PIU.
### UB Solid Waste Modernisation: Livelihood Restoration Plan

<table>
<thead>
<tr>
<th>People seeking new work opportunities</th>
<th>Cost to be confirmed when determined if state support is available – could be reduced by 25%</th>
<th>15 million MNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>40 households</td>
<td>One-off contribution to “support livelihood transition” for all waste pickers. Assume the value of 750,000 million MNT for each waste picker household.</td>
<td>30 million MNT</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>C</th>
<th>All waste pickers excluding students who only collect waste during holidays</th>
<th>Loss of access to resources leading to the displacement of income</th>
<th>60 individuals / 40 households</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>People seeking new work opportunities</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>- Transition payment of 2 months median waste picker household salary 40,000 MNT / day to allow people time to find a new job</td>
<td>40 households</td>
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<tr>
<td></td>
<td></td>
<td>- Provision of training opportunities to give construction / watchmen / cooks / etc workers specialist skills for one member of each waste picker household</td>
<td>Assume offered to one individual per HH @ 300,000 per one month training course</td>
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<td></td>
<td></td>
<td>- LCSD to provide introductions to other companies to see if they have jobs available for waste pickers</td>
<td>Logistics and phonecalls</td>
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<td></td>
<td></td>
<td>- Provision of “job preparation support” (cv writing, interview preparation)</td>
<td>Assume a series of meetings</td>
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<td></td>
<td>- Priority consideration for new jobs at the recycling facility and landfill cell</td>
<td>Prioritise &gt;50 years, vulnerable and ex-prisoners</td>
</tr>
</tbody>
</table>

**People Planning to Retire:**

- Transition payment of 2 months average waste picker salary 40,000 MNT / day (paid every 2 weeks for 4 months)  
  Captured above

- Provide assistance in accessing social benefits and service  
  OR

**People seeking to set-up new businesses / expand businesses:**

- Provision of 1 month of transition payment (assume 40,000 MNT/day) plus  
  Captured above
### Provision of business small-grants to help businesses become established (at an amount not to exceed 1 month @ 40,000 MNT/day)

**OR**

### People who want to continue to pick waste ("Freedom" group):

- Work with individuals on a case-by-case basis to determine how best to meet their livelihood needs in the absence of waste picking activities at MDDS and support as necessary.

Assume additional time with social worker / psychologist to support them

<table>
<thead>
<tr>
<th>C - 1</th>
<th>Students who only pick waste during holidays</th>
<th>Economic displacement - Loss of access to resources leading to the displacement of income</th>
<th>2 students</th>
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</thead>
<tbody>
<tr>
<td><strong>Students planning to return to school:</strong></td>
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<tr>
<td>- Provision of 2 weeks transition payment to support them to buy clothes and school tuition fees (@ 40,000 MNT/day)</td>
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<td></td>
<td>1.12 million MNT</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>C</th>
<th>Vulnerable households</th>
<th>Economic displacement - Loss of access to resources leading to the displacement of income</th>
<th>10 households</th>
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<tbody>
<tr>
<td>In addition to the measures above:</td>
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<tr>
<td>- Support households to apply for any additional government welfare scheme they may be eligible for</td>
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<td>750,000 MNT</td>
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<tr>
<td>- Provide additional food and utilities support in the order of 100,000 MNT/month for 6 months</td>
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<td>6 million MNT</td>
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<tr>
<td>- Support tuition fees for children to finish technical school.</td>
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<td>500,000 MNT per HH</td>
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<td>5 million MNT</td>
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<thead>
<tr>
<th>D</th>
<th>Waste pickers at NEDS and TDDS who pick construction and demolition waste</th>
<th>Economic displacement – loss of construction and demolition waste from NEDS and TDDS reducing income levels for waste pickers at those sites</th>
<th>300</th>
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<tbody>
<tr>
<td>Measures to be developed in consultation with LCSD but could potentially include:</td>
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<tr>
<td>- Support all waste pickers working at MDDS, TDDS and NEDS</td>
<td>Communal compensation x2 @ 50 million MNT each</td>
<td>To be determined assume 100 million MNT</td>
<td>5 million MNT</td>
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<tr>
<td>- Improve safety conditions in NEDS and TDDS (and MDDS for as long as waste pickers are actively working there) by providing PPE to waste pickers at no cost to them.</td>
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<thead>
<tr>
<th>E</th>
<th>Waste Buyers</th>
<th>Economic displacement –</th>
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</thead>
<tbody>
<tr>
<td>Measures to be developed in consultation with affected waste buyers but expected to include:</td>
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</table>

March 2020
<table>
<thead>
<tr>
<th>Loss of business opportunity as waste buying opportunities for all types of waste cease once waste picker access ceases at MDDS</th>
<th>3 individuals and 2 members of extended family</th>
<th>Access to small business counsellors to assist the waste buyers to develop new and adapted business models</th>
<th>4.5 million MNT</th>
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<tbody>
<tr>
<td>- Compensation for loss of business for a month long period (transition period).</td>
<td>To be defined once impacts are better understood</td>
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| Total | 251.62 million MNT (USD 94,000) | 41.75 million (USD 15,600) |
Appendices

Appendix A: Household Survey Template for use at MDDS

Livelihood Questionnaire – Affected Waste Picker

ID # ____________________________

1. Full name of waste picker __________________________
2. Gender: __________________________
3. Age: __________________________
4. Town of residence (ger area): _______________
5. Town / bagh of origin: _______________
6. Permanent address: __________________________________________________________________________
7. Telephone number: ____________________________
8. Mobile: ____________________________
9. Composition of household (to include all who live in the same ger/house as the waste-picker)

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<th>Member</th>
<th>1 (Head)</th>
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<td>Handicap or chronic illness</td>
<td></td>
<td></td>
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<tr>
<td>Current engagement (studying in/working as)</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Handicap: 1. Invalid 1st Category  2. Invalid 2nd Category  3. Invalid 3rd Category  4. Other invalidity or chronic illness

10. Did you migrate to Ulaanbaatar city? yes no
If yes, when did you migrate?
If yes, did you migrate with family alone

11. For how many years have you been a waste picker?

12. What did you do for an income before you became a waste picker?
13. How many days a week and for how many hours do you work as a waste picker?
14. What time do you start working MDDS? ________; What time do you return from MDDS? _______

15. Where do you collect waste from?
   Only MDDS NEDS
   Tsagaan Davaa Other Locations

16. What sort of waste do you collect? / What do you mostly collect?

<table>
<thead>
<tr>
<th>Quantity collected per day</th>
<th>Type of Waste</th>
<th>Income generated per day in MNT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Plastic Bottles</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Glass Bottles</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Cans</td>
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<td></td>
<td>Iron (thick)</td>
<td></td>
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<td></td>
<td>Iron (thin)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other plastics</td>
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<td></td>
<td>...</td>
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<tr>
<td></td>
<td>...</td>
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</tr>
</tbody>
</table>

17. How much do you earn per day?

18. How often do you sell?
   daily alternate days 2-3 times a week
   weekly fortnightly monthly

19. What do you do with the waste you collect?
   Sell it to a middleman?
   Keep some items for your own use?
   Sell it directly yourself?

20. How do you transport the waste from the MDDS to its point of sale?
21. How do you travel to the MDDS?
   - By foot
   - Bicycle
   - Motorbike
   - Taxi
   - Personal car
   - Public bus

22. Does anyone else in your household also collect waste?

23. Is waste picking your primary income?

24. Do you have another job/income source also? If so, please describe (including the number of days per week of work, indication of income, etc):

25. Do you collect waste all year round or only in summer?

26. Why did you start picking waste in the first place?
   - Good business opportunity
   - Financial necessity
   - …

27. Have you taken a loan from anybody?  
   - Yes
   - No

28. What are the biggest challenges you face as a waste picker?

29. Are you part of a waste pickers’ organization (eg are you working with/affiliated with the MNRA)?

30. If you could no longer collect waste from MDDS what alternative income generating activity would you be interested in pursuing?

31. Does your household own one or several of the following items:  
   (Mark “X” to what applies)

<table>
<thead>
<tr>
<th>Colour TV</th>
<th>Satellite Dish</th>
<th>Telephone</th>
<th>Mobile phone</th>
<th>Internet</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal computer</td>
<td>Washing machine</td>
<td>Refrigerator</td>
<td>Motorcycle</td>
<td>Car</td>
</tr>
</tbody>
</table>

32. What is the first source of expenditures of your household?  
   (Mark one)

33. **In enumerator’s assessment (not a question), is there potential for vulnerability for this individual:**  Yes / No

34. If yes to 79, why: ________
   1: Elderly   2: Invalid   3: Very poor, cannot cope with their basic needs   4: Female-Headed Household   5: Flagged by local authorities Other

35. **Do you have a house?**
   Yes
   No
   If yes: own rented
   Ger House

36. **What kind of house:**

37. **Basic amenities:**
   • access to water
   • electricity
   • government schools
   • government dispensaries

38. **Do you have any existing significant health problems?**

39. **How many times have you been to the doctor in the last 1 year?**

40. **How much did you spend?**

41. **Do you think there is a need for a waste picker organization?**  Yes  No

42. **Do you access any government welfare schemes?**  Yes  No

If yes, what scheme?
Appendix B: Livelihood Survey Questionnaire for Waste Pickers from NEDS / TDDS

Livelihood Questionnaire – Waste Picker from other Dump Site

ID #______________________________

1. Full name of waste picker __________________________ 2. Gender: __________________________
3. Age: __________________________
4. Town of residence (ger area): _______________ 5. Town / bagh of origin: _______________
6. Permanent address: ______________________________________________________________________________________________________

9. Did you migrate to Ulaanbaatar city? yes no
   If yes, when did you migrate?
   If yes, did you migrate with family alone
   If yes where did you migrate from? ______________________________________________________________________________________

10. For how many years have you been a waste picker?

11. When did you start waste picking?
    Immediately on arrival in UB
    Or…..

12. Where do you collect waste from and why do you collect waste from this site?
    MDDS
    NEDS
    TDDS
    Other locations

13. What proportion of the time do you collect waste from each of the three dumps?
14. What sort of waste do you collect? / What do you mostly collect?

<table>
<thead>
<tr>
<th>Quantity collected per day</th>
<th>Type of Waste</th>
<th>Income generated per day in MNT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Plastic Bottles</td>
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<tr>
<td></td>
<td>Glass Bottles</td>
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<td></td>
<td>Cans</td>
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<td></td>
<td>Iron (thick)</td>
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<td></td>
<td>Iron (thin)</td>
<td></td>
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<td></td>
<td>Other plastics</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Construction waste</td>
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<td></td>
<td>...</td>
<td></td>
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</tbody>
</table>

15. Do you collect different waste at different dump sites? If so, what is the difference?

16. How much do you earn per day?

17. What proportion of this income is from “construction waste”?

18. What did you do for an income before you became a waste picker?

19. Is waste picking your primary income?

20. Do you have another job/income source also? If so, please describe (including the number of days per week of work, indication of income, etc):

21. Do you collect waste all year round or only in summer?

22. Why did you start picking waste in the first place?
   Good business opportunity

---

March 2020
Financial necessity
Etc

23. How many days a week and for how many hours do you work as a waste picker?

24. What time do you start working at NEDS / TDDS? __________; What time do you return from NEDS / TDDS? __________

25. How often do you sell?
   daily
   alternate days
   2-3 times a week
   weekly
   fortnightly
   monthly

26. What do you do with the waste you collect?
   Sell it to a middleman?
   Keep some items for your own use?
   Sell it directly yourself?

27. Have you taken a loan from anybody? Yes No

28. What are the biggest challenges you face as a waste picker?

29. Are you part of a waste pickers’ organization (eg are you working with/affiliated with the MNRA)?

30. If you could no longer collect waste what alternative income generating activity would you be interested in pursuing?

31. Do you have a house? Yes No
   If yes: own rented

32. What kind of house: Ger House

33. How far is your house from the current dump site you are being interviewed at?

34. Do you access any government welfare schemes? Yes No
If yes, what scheme?

35. In enumerator’s assessment (not a question), is there potential for vulnerability for this individual: Yes / No

36. If yes to 35 why:_______

1: Elderly  2: Invalid  3: Very poor, cannot cope with their basic needs  4: Female-Headed Household  5: Flagged by local authorities Other
Appendix C: Messages to Share

The points noted below provided the basis for the messages which were shared with waste pickers at MDDS during the course of the fieldwork (August 5th-13th, 2019). The messages were conveyed in Mongolian, in groups sizes varying from a single individual at a time, to groups of ten or more waste pickers.

1. Project Overview:
   - The City of Ulaanbaatar is preparing to implement the UB Waste Modernization Project aimed at improving solid waste management in the city. Funds for the implementation of this Project will be provided through the European Bank for Reconstruction and Development (EBRD).
   - The project will include 1) expansion of MDDS landfill capacity and 2) creation of a Construction and Demolition Waste (CDW) plant at MDDS.
   - The “new landfill” will be built 100m to the east of the existing landfill
   - All construction and demolition waste in Ulaanbaatar will in the future be sent to MDDS to go through the new CDW facility
   - The timing of the whole project is still being defined, but it is expected that construction will start in 2020 and will take 3 years to complete

2. Project Impacts:
   - Access to the “upgraded” MDDS facility is expected to be restricted, meaning that all waste picking activity will have to cease
   - This is in order to ensure adequate health and safety conditions which meet international financing standards
   - Waste picking activities will need to cease before the construction activities commence – we can’t specify when that will happen at this time
   - This project may also affect waste pickers at NEDS and TDDS who currently collect construction waste when all the construction waste is redirected to the CDW facility at MDDS in the future
   - The upgraded landfill and the new CDW plant will provide a limited number of job opportunities which waste pickers can apply for and will receive priority consideration (but there are not that many jobs available)

3. Livelihood restoration:
   - Our work here is to develop measures and activities to help all of the affected waste pickers (and waste buyers) to cope with this change and to find alternative economic activities to restore their livelihoods
   - This is why we are here asking questions about your life and the waste you collect etc. The more information you can share with us, the better we can define the support measures to help you transition away from working on the MDDS
   - We realise that there is a lot of variation amongst waste pickers: how often people come to pick waste, what sort of waste you pick, whether you pick waste all year or only during holidays or summer months etc
• There will be another survey which will be undertaken when the timing of the construction starting is clearer, but we would greatly appreciate your time talking with us now to help inform the planning for these activities.

• Based on the surveys we conducted 2 years ago, we are proposing the following categories of entitlements:
  i. Access to social workers, health workers and assistance with identification documentation
  ii. Training opportunities
  iii. Support for new work opportunities:
    1. Support with preparing a CV
    2. Provision of introductions to other companies
  iv. Support for new business opportunities
    1. Access to small business specialists to advise on setting up a new business
  v. Retirement planning:
    1. Making sure people who want to retire get access to all the social benefits they are entitled to
  vi. Support for vulnerable individuals:
    1. Additional support as necessary (could include additional food packages or utilities support) – case by case basis
  vii. Support during the transition period:
    Payment of a “transition” allowance to provide time to find an alternative livelihood / income - valued tied to the frequency of waste picking – waste pickers who work more often will be compensated more.
### Appendix D: Sample Grievance Form

<table>
<thead>
<tr>
<th>No.</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
<td></td>
</tr>
<tr>
<td>Contact address:</td>
<td></td>
</tr>
<tr>
<td>Tel (mobile):</td>
<td></td>
</tr>
<tr>
<td>Tel (home):</td>
<td></td>
</tr>
<tr>
<td>Email:</td>
<td></td>
</tr>
<tr>
<td>Nature of grievance (what happened or what are your concerns?):</td>
<td></td>
</tr>
<tr>
<td>When did it occur:</td>
<td></td>
</tr>
<tr>
<td>Frequency:</td>
<td></td>
</tr>
<tr>
<td>Place (where grievance occurred):</td>
<td></td>
</tr>
<tr>
<td>Who was involved:</td>
<td></td>
</tr>
<tr>
<td>Why it is relevant to MDMS Waste Modernization Project?</td>
<td></td>
</tr>
<tr>
<td>Your proposed/desired solution:</td>
<td></td>
</tr>
</tbody>
</table>

#### Office Use Only:

<table>
<thead>
<tr>
<th>Company officer who received grievance:</th>
<th>Name/job title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decided to – ACCEPT:</td>
<td>Next steps:</td>
</tr>
<tr>
<td>Decided to – REJECT:</td>
<td>Reasons:</td>
</tr>
</tbody>
</table>

Signature of Aggrieved:

Signature of Staff:
Appendix E: Workshop Participant List - 6th November, 2019

Ulaanbaatar, Mongolia  Solid Waste Modernization Project  6 Nov 2019

Participants of Livelihood Restoration Planning Workshop

<table>
<thead>
<tr>
<th>#</th>
<th>Name</th>
<th>Position and Organisation</th>
<th>Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Mrs Zoltaya Baatar</td>
<td>Project Management and Regulation Division – City of Ulaanbaatar</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Mr Ariguun</td>
<td>Head, Waste Management and Regulation Department</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Mr Enk-Amaqlan</td>
<td>Officer in Charge of Waste Recycling Factor and all 3 dump sites in UB, Waste Management and Regulation Department</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Mr Batbaatar S</td>
<td>Deputy Director, LCSD</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Mr Purevdonj M.</td>
<td>LCSD Manager for NEDS</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Mrs Enkhjargal</td>
<td>Director NGO “We Help”</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Ms Ulzibadragk</td>
<td>Office of Social Welfare, City of Ulaanbaatar</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Ms Namnaakhuu</td>
<td>Social Policy Division, Governor’s Office</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Mr Sigitas Rinkevichous</td>
<td>Project Manager, Solid Waste Management, CECT PRU Consultant</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Ms Khaliun Murun</td>
<td>COWI, ESIA Consultant</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Ms Yajnlkham Zadaa</td>
<td>COWI, ESIA Consultant</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Mrs Sarah Ruck</td>
<td>Associate Director, Social Adviser, EBRD</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Mr Anton Dan-Chin-ju</td>
<td>Principal Banker, Infra Eurasia</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Ms Liz Wall</td>
<td>International Consultant</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Mrs Oyunchimeg N</td>
<td>Local Consultant</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Miss Nergui</td>
<td>CECT - Mongolia</td>
<td></td>
</tr>
</tbody>
</table>
# Workshop Participant List – 7th November, 2019

## Participants of Livelihood Restoration Planning Workshop

<table>
<thead>
<tr>
<th>#</th>
<th>Name</th>
<th>Position and Organisation</th>
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<tbody>
<tr>
<td>1</td>
<td>Mrs Sukherel Dugersuren</td>
<td>OT Watch</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Ankhi-Oyun</td>
<td>OT Watch</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Enkhtuya</td>
<td>ADB Project affected person</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Mrs Dolgor</td>
<td>Development Alliance</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Mrs Arlunaa Sh.</td>
<td>Head of the Women Employment Support Association</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Tsenbaatar Sodnom</td>
<td>Meridian Centre</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Dugarmaa Lodolsambuu</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Purevkhuu Tserendorj</td>
<td>Moms&amp;Dads Against Smog</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Mrs Nergui D</td>
<td>CECT Consultant</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Sigita Rinkevicius</td>
<td>PIU Consultant (CECT)</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Representative of the PIU</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Ms Khaliun Murun</td>
<td>COWI; ESIA Consultant</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Ms Yanjinikham Zagdaa</td>
<td>COWI; ESIA Consultant</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Mrs Sarah Ruck</td>
<td>Associate Director, Social Adviser, EBRD</td>
<td></td>
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<tr>
<td>15</td>
<td>Mr Anton Dan-Chin-Iu</td>
<td>Principal Banker, Infra Eurasia</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Ms Liz Wall</td>
<td>International Consultant</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Mrs Oyunchimeg N</td>
<td>Local Consultant</td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Davanaagiin Purevdar</td>
<td>Mongolian Women's Forum</td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>Mrs Lamjidmaa T</td>
<td>MIST, nutrition, healthcare</td>
<td></td>
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</tbody>
</table>
References


City of Bishkek (2014), Bishkek Solid Waste Project – Livelihood Restoration Plan


