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Report on

Final Evaluation of the Sri Lanka UN-REDD National Programme 2013-2017

Sri Lanka UN-REDD Programme

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Acronyms (used more than once)

ARF	Academic and Research Forum
BeRT	Benefits and Risks Tool (of UN-REDD Programme)
CBNA	Capacity building needs assessment
CBR+	Community Based REDD+ (GEF Small Grants Programme)
CCS	Climate Change Secretariat
CEJ	Centre for Environmental Justice
CSO	Civil society organisation
CTA	Chief Technical Advisor
D&FD	Deforestation & Forest Degradation
DWC	Department of Wildlife Conservation
FAO	Food and Agriculture Organization of the United Nations
FD	Forest Department
FPIC	Free, Prior and Informed Consent
FRL/FREL	Forest Reference (Emissions) Level
FSI	Forest Survey of India
GEF	Global Environment Facility
IP	Indigenous People
IUCN	International Union for the Conservation of Nature
MCA	Multiple criteria analysis
M&E	Monitoring and evaluation
MoMD&E	Ministry of Mahaweli Development & the Environment
MRV	Measurement, Reporting and Verification
NFI	National Forest Inventory
NFMS	National Forest Monitoring System
NGO	Non-governmental Organisation
NP	National Programme (Sri Lanka UN-REDD National Programme)
NPD	National Programme Director
NPM	National Programme Manager
NRIFAP	National REDD+ Investment Framework and Action Plan
PAMs	Policies and Measures
PEB	Programme Executive Board
PMU	Programme Management Unit
RACB	REDD+ Advisory and Coordination Board
RBP	Results-based payments
REDD+	Reducing emissions from D&FD, and forest conservation, sustainable management of forests and enhancement of forest carbon stocks
ROtI	Review of Outcomes to Impacts (methodology)
RPMCC	REDD+ Programme Management and Coordinating Committee
RTT	Regional Technical Team (Bangkok)
SC	(UN-REDD) Steering Committee
SIS	Safeguards Information System
SLCFAN	Sri Lanka Climate and Forest Action Network
SSFA	Small-scale Finance Agreement

TOR	Terms of Reference
TF	Task Force
TWG	Technical Working Group
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations Collaborative Programme for REDD+
USD	United States Dollars

Executive Summary

The Sri Lanka UN-REDD National Programme (NP) commenced on 3 April 2013 for a period of three years, but was extended by 15 months, and will finish on 30 June 2017. The Programme Management Unit (PMU) was established in August 2013. By mid-November 2013, all core staff of the PMU were in place. The investment was USD 4 million made up of contributions of USD 2,410,000 (FAO), USD 915,000 (UNDP) and USD 413,318 (UN Environment) with indirect support costs of USD 261,682. Co-financing amounted to USD 1,593,000 with the Sri Lanka Government contributing USD 1 million.

The end-of-project evaluation, contracted by FAO being the lead agency of the Sri Lanka UN-REDD Programme, was undertaken by Michael Richards and Ranjith Mahindapala in May 2017. The evaluation methodology consisted of a combination of an evaluation workshop in which PMU and NP stakeholders critiqued the NP theory of change (using an adaptation of the Review of Outcomes to Impacts (ROtI) method), face-to-face interviews with stakeholders and implementers, Skype calls with UN agency advisors, and analysis of reports.

The overall performance of the NP is **satisfactory**. It has been relatively successful in achieving its outcomes and objective of REDD+ readiness, especially technical and strategy readiness. The outputs, outcomes and objective of the NP were rated as satisfactorily (and in some cases more than satisfactorily) achieved, with the main product, the National REDD+ Investment Framework Action Plan (NRIFAP) developed and officially handed over to the government. The success of the NP is attributed primarily to the strong leadership and technical capacity of the PMU, especially since a full-time resident Chief Technical Advisor (CTA) was appointed, the commitment and enthusiasm of the National Programme Director (the Conservator General of Forests), and good quality technical backstopping and support by the UN agencies in Bangkok and Rome.

Although technical and strategy readiness are well advanced, the institutional readiness has only been partially achieved. This is partly due to weak inter-institutional collaboration between the three key agencies, FD, DWC and CCS. There was still a perception among some stakeholders that REDD+ is mainly a FD-led project; this is in spite of the PMU establishing a strong programme identity, and a strong communications strategy that has emphasised the inter-sectoral nature of REDD+. Institutional readiness should however be given a boost assuming approval of a cabinet paper to institutionalise the REDD+ Advisory and Coordination Board (RACB).

A key achievement of the NP has been to secure a significant proportion of the funding required for the first five years of the implementation phase: USD 21 million from World Bank and UK Department of Environment, Food and Rural Affairs (DEFRA) and USD 20 million over five years from the Government of Sri Lanka. If a proposal to the Green Climate Fund is approved, the total cost of the first five years of REDD+ implementation would be covered. This successful exit strategy was partly due to 'projectisation' of the Policies and Measures (PAMs) in the NRIFAP, which allows donors to 'pick and choose' PAMs according to their funding criteria. But a major concern was the funding gap between the NP and operationalisation of the implementation stage, possible resulting in losing momentum of the RACB, the stakeholder fora (especially the rather fragile civil society network), and the National Forest Inventory (NFI) work.

Other successful or positive strategies, activities or components of the NP have been:

- The Measurement, Reporting and Verification (MRV) related activities, including the on-line geoportal for land use monitoring that can be used by any project
- The stakeholder engagement strategy involving development of four stakeholder fora: the civil society platform, now converted to a non-profit company, the Sri Lanka Climate and Forest Action Network (SLCFAN), to promote sustainability; the indigenous peoples' forum; the private sector forum; and the Academic and Research Forum (ARF). These stakeholder fora provide a model for other development programmes
- The high quality communications strategy and products in spite of difficulties at the start of the NP and PMU's inadequate control over the SSFA between UN Environment and IUCN
- Formation of Task Forces(TFs), supported by Technical Working Groups (TWGs) , to facilitate much of the work leading up to the NRIFAP
- The ARF provided valuable technical inputs to some studies, and took the lead in organising the Symposium on Valuation of Forest Ecosystems and their Services
- South-South cooperation with the Forestry Survey of India (FSI) in provision of capacity building for implementing the NFI. Since no staff charge was levied, the NP has piloted the NFI (a new activity) with the savings
- The *Grow a Fighter* initiative has been effective in promoting private sector involvement in afforestation of unproductive tea lands
- The strategy of weaving REDD+ into existing planned activities of government departments and the national budgetary process
- Use of some UN tools, sometimes following their contextual adaptation, notably the stakeholder engagement tool and the *Open Foris* tool for MRV related activities

On the other hand, some less successful areas needing improvement have been:

- Weak intra-institutional feedback of information and decisions made at the Programme Executive Board (PEB), UN-REDD Steering Committee (SC) and RACB meetings
- The policy of regularly transferring trained staff in the CCS threatens to undermine the capacity building work of the NP
- Some sub-standard technical studies due to poor quality of consultancies
- The rather qualitative deforestation and forest degradation drivers' analysis and lack of a study on constraints to forest carbon enhancement activities left a weak diagnostic basis for identifying and prioritising the PAMs
- Although the civil society network is a very positive development, due to the uneven capacity of civil society organisations (CSOs) there has been an over- concentration of responsibilities on 1-2 members, as well as divisions among Convening Committee members
- The missed opportunity of the GEF-UNDP managed Community Based REDD+ (CBR+) small grants programme to help pilot some PAM-related actions
- Inadequate attention to gender in the NP in developing gender capacity in key government agencies. It was generally felt that the gender component of the NRIFAP was weak and did not sufficiently draw on existing good practice in Sri Lanka
- The view that the Cancun safeguard on indigenous peoples was insufficiently 'contextualised' in view of the low dependence of the *Veddha* community on forests and their unclear role in the NRIFAP

- The weak transparency and high cost associated with the UN Environment collaboration with IUCN to implement the otherwise successful communications strategy, and some implementation issues

Recommendations

The recommendations address strategic, thematic and operational aspects, and are mainly oriented towards the implementation phase of REDD+.

Strategy

RACB: The current composition of 41 members in the RACB appears excessive for in-depth discussion on programme direction and guidance of national REDD+ activities. A two-tier management structure with a smaller RACB with key agencies for policy direction and guidance, and a larger subsidiary group of stakeholder representatives, primarily for intra-institutional diffusion of information and coordination at the field level is recommended.

Bridging Finance: The Ministry of Mahaweli Development & the Environment (MoMD&E) should identify bridging finance between the end of the NP and operationalisation of the implementation stage is urgently needed to avoid loss of momentum and human resources, hosting and continuity of the RACB, and continuity of key stakeholder fora.

Inter-institutional collaboration: Stronger measures including formalised regular dialogues, awareness enhancement, protocols for data sharing, and common data management platforms that are also needed for global reporting are needed to improve inter-institutional collaboration for effective REDD+ implementation.

Retention of Specialist Staff: Given the technical nature of REDD+ obligations, government staff who receive specialised training should remain in their current posts or agencies at least until the experience and knowledge are institutionalised, and second tier staff are adequately trained.

Thematic areas

Monitoring, Evaluation & Learning: Given the scope of NRIFAP and its importance to the country, the NRIFAP implementation phase requires a more rigorous and science-based monitoring, evaluation and learning protocol.

CBR+: An independent review of CBR+ small grants programme is suggested given that its expected contribution to the national REDD+ process has not materialised, and considering the concerns expressed by some agencies.

Operational aspects

Capacity building

All capacity building activities should include a post-training evaluation to ensure relevance, content, delivery, supporting materials, etc.

Managers in recipient agencies need to recognise the importance of training imparted to its staff, and an institutional system set in place to recognise such trainings so that national programmes receive the benefits. The agencies must also create avenues for further diffusion of capacities within the agencies.

Notwithstanding the provisions in the NRIFAP, SLCFAN requires continuing leadership building programmes to ensure a second tier of leaders with the requisite governance, technical, organisational and administrative capacity.

Procurement of Consultancy Services:

The UN agencies should have a system of screening the applications and send only those that meet the criteria to projects or programmes (PMU felt they spent an inordinate amount of time going through longlists of CVs).

Consultants should only be appointed if there is not significant disagreement between the PMU and UN agencies.

When institutional consultancies are procured, PMU should have full control of the consultancy and there should be full transparency on costs.

Key lessons

Finally, some of the lessons from the NP, not all of them new ones, were:

- Anchoring the NP in the Ministry in which FD is housed made it difficult to avoid stakeholders' perceptions that the programme was FD-led, thereby complicating the inter-sectoral collaboration and information exchange needed. A non-sectoral Ministry with a higher level planning role could have facilitated institutional readiness, although the potential trade-offs around operational effectiveness would need to be carefully monitored.
- The importance of a technically strong PMU, including a full-time resident CTA from the start. After the CTA came on board it was evident that some studies hired out to consultants could have been more effectively and efficiently undertaken by the PMU. A technically strong PMU can somewhat reduce the dependence on consultants.
- The need for two capacity building needs assessments: the first near the start of the programme to assess the needs of the readiness stage, and the second towards the end to assess those of the implementation stage.
- Building stakeholder engagement through establishment of stakeholder fora, although when engaging civil society, it may be necessary to firstly build capacity across several CSOs to avoid dependency problems on higher capacity CSOs.
- South-South cooperation can be an effective and low cost approach to capacity building.

1 Introduction

1.1 Background and purposes of the evaluation

The UN-REDD Programme is the United Nations Joint collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD+) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UN Environment), referred to as the participating UN agencies. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

The UN-REDD Programme supports national REDD+ readiness efforts in two ways: (i) direct support to the design and implementation of UN-REDD National Programmes; and (ii) complementary support to national REDD+ action through common approaches, analyses, methodologies, tools, data and best practices developed through the UN-REDD Global Programme. The objectives of the Final Evaluation of the Sri Lanka UN-REDD National Programme (NP) are stated in the terms of reference (TORs) (see Annex 1) as being to:

- Provide evidence of results to meet accountability requirements;
- Assess the status of REDD+ readiness in Sri Lanka, including analysis of gaps and challenges that need to be addressed to achieve REDD+ readiness, and make recommendations for any future role for the UN-REDD Programme in Sri Lanka;
- Propose recommendations on how existing and potential financing and investment opportunities can be leveraged and better coordinated for implementing the national REDD+ Strategy or National REDD+ Investment Framework and Action Plan (NRIFAP);
- Review the proposed institutional arrangements for REDD+ in the NRIFAP and make recommendations on how they could be improved or adjusted for more efficient implementation of the NRIFAP;
- Promote learning, feedback and knowledge sharing through results and lessons learned among the participating partners and stakeholders, including the Government of Sri Lanka, UN agencies and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in the country, especially as regards any future involvement of the UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.

The NP was approved on 27th February 2013 and received funding on 4th April 2013. It will finish on 30th June 2017 following a no-cost extension of 15 months approved on 31st December 2015. The total budget was US\$ 4.0 million. The evaluation mission took place between 24th April and 19th May 2017. An abbreviated form of the terms of reference is presented in Annex 1, and a brief profile of the Evaluation Team can be found in Annex 2.

1.2 Evaluation methodology

The methods used for this evaluation can be summarised as follows (see also Annex 3):

- (a) A desk review of project documents, including the National Programme Document (2013), the Internal Review (2014), the Roadmap for REDD+ Implementation (2015), the Revised Results Framework (2015), various consultancy reports and communications' products, and the minutes of meetings of the Programme Executive Board (PEB), the UN-REDD Steering Committee (SC) and the REDD+ Advisory and Coordination Board (RACB).
- (b) Semi-structured interviews with key informants, stakeholders and participants, including:
- State agencies;
 - Civil society organizations (CSOs) and an indigenous peoples' (*Veddha*) representative;
 - Country, regional and headquarter personnel from the three United Nations' Organisations (UN agencies) involved in the NP, including the Programme Management Unit (PMU), the FAO Representative and Regional Technical Advisers (skype calls);
 - Other implementing partners.
- A list of key informants met or communicated with via skype is presented in Annex 4.
- (c) The Theory of Change Workshop held on 4th May 2017, at which the workshop participants reviewed the theory of change of the NP and identified gaps (in the NP design), risks and progress towards achievement of the outcomes and objective, using a simplified and adapted form of the Review of Outcomes to Impacts (ROtI) methodology¹.

¹ This adaptation was necessary since ROtI is designed to assess linkages between 'outcomes' and longer term 'impacts', while the NP has a shorter term horizon involving the development of a state of REDD+ Readiness. Therefore the key linkages are between the NP outputs, outcomes (including the NRIFAP) and objective associated with the state of readiness for REDD+ implementation.

2 Context of the National Programme

Sri Lanka is a signatory to the United Nations Framework Convention on Climate Change (UNFCCC) and thus committed to addressing the threat of human-induced climate change through all sectors, both by increasing the resilience of its people and its ecosystems through adaptation measures, and by decreasing the intensity of climate change through mitigation measures.

Sri Lanka's 2 million hectares of forest are rich in endemic flora and fauna species. These forests are important globally, as shown by the fact that there are four International Biosphere Reserves (Sinharaja, Hurulu, Kanneliya-Dediyagala-Nakiadeniya complex, and Bundala) and two Natural World Heritage Sites (Sinharaja and the Central Highlands Serial World Heritage Sites). Sri Lanka is ranked among the world's 34 biodiversity hotspots mainly due to the high biodiversity and endemism of the wet zone forests. There are also remnants of ancient civilisations, while the indigenous *Veddha* people have a wealth of knowledge and wisdom on ecosystem services.

Sri Lanka has suffered a 30-year internal conflict. Cessation of hostilities in 2009 paved the way for rapid economic and infrastructure development with assistance from donors. Road expansion, opening up new agricultural land, and infrastructure development have posed a specific threat to forests.

*Mahinda Chintana*¹ outlines the national circumstances for development, and provided the national context for REDD+. An important component is *Gama Neguma*² comprised of a range of projects on rural road development, rural electrification, minor irrigation works, potable water supply, etc. Secondly, the development of transport infrastructure has been given priority; this involves new motorways, airport expansion, new sea ports, extension of railway lines, etc. Thirdly, the government has recognised the need to expand the tourism sector, targeting 2.5 million tourists per year by 2017, and involving the expansion of hotels and other facilities; this particularly targets the Tsunami-hit east coast. The energy sector development plans include 100% coverage of household electricity supply, from about 85% at the time of project formulation. There are several on-going hydro-power projects.

Another priority in the energy sector is expansion of the biomass energy contribution to the national grid and industrial sector. In 2009, the main sources of energy were biomass (47.4%), and petroleum oil (43%), and the main source of energy in the industrial sector was biomass (72%). Due to the increased cost of imported petroleum oil, demand for biomass energy increased considerably. Introduction by the government of a subsidy for furnace oil and kerosene in 2009 suddenly changed demand for fuelwood, as subsidized oils were cheaper. There were several other barriers to popularising biomass and the Government is working towards the removal of barriers to sustainable

¹ *Mahinda Chintana*: Vision for a new Sri Lanka; A ten year horizon development framework 2006-2016; Department of National Planning, Sri Lanka

² *Gama Neguma* Development Programme is a component of Mahinda Chintana with the aim of developing the village as the pivotal centre of government's development planning process.

biomass production.¹ The plans include large-scale energy plantations, particularly *Gliricidia sepium*, on marginal forest lands.

Sri Lanka has taken actions to reduce deforestation and forest degradation since the mid-1990s. A major contribution towards this is the substantial system of protected areas covering about 14% of Sri Lanka. In 1990, a logging ban was imposed on natural forests, and it is generally believed that forest management has improved. About 1,000 hectares of new forest plantations have been established annually in degraded areas. Furthermore, community-based reforestation, conservation and protection activities have been introduced.

Nonetheless, Sri Lanka has experienced significant deforestation. The rate of deforestation during the period 1956-1983 was estimated at 54,000 hectares². The major drivers were identified as multi-purpose development, human settlement and agriculture. Another contributory factor was that about 80% of Sri Lanka's land is state-owned, leaving little private land that could be used for infrastructure development. Forest encroachment due to lack of forest boundaries and poor boundary maintenance has also contributed to deforestation and forest degradation. The post-conflict era (since 2009) has witnessed rapid infrastructure development, including two new motorways and several others that are close to construction. The number of tourists has increased from under half a million in 2009 to over 2 million in 2016.³ Foreign exchange earnings from tourism increased tenfold from 2009 to 2016.

Although a small country, Sri Lanka can contribute towards efforts to reduce GHG emissions, although it should be noted that the REDD+ context of Sri Lanka is rather different to other countries in that the potential to reduce forest-related emissions is relatively low, and the potential multiple benefits of REDD+ therefore assume more importance. With the cessation of hostilities in 2009, the country has geared up for a rapid development phase which will impact forests. Given these circumstances, the NP is needed to develop a robust strategy to limit deforestation and forest degradation from the development agenda, facilitate economic incentives for enhancement and maintenance of forest carbon stocks, and provide multiple benefits through maintaining or increasing forest ecosystem services.

¹ Promoting Sustainable Biomass Energy Production and Modern Bio-Energy Technologies [UNDP-GEF Project; Ministry of Sustainable Energy (Ongoing)]; *see also*: Sri Lanka Energy Sector Development Plan for a knowledge-based economy (2015-2025); Ministry of Power & Energy, Sri Lanka (2015) 67 pp.

² Biological conservation in Sri Lanka; A National Status Report; IUCN Sri Lanka (1993)

³ <http://sltda.gov.lk/sites/default/files/tourism-growth-and-trends-1970-2016.pdf>

3 Concept and relevance

3.1 Design

3.1.1 Appropriateness of stated outcomes and objective of the NP

The outcomes and objective in the (modified) Results Framework are appropriate except for Outcome 1 'National Consensus reached on the National REDD+ Programme.' Consensus between the implementing stakeholders, including different government Ministries and Departments with a role in the 'extra-sectoral' nature of REDD+ (whether from the perspective of the drivers of deforestation and forest degradation or the corresponding policies and measures (PAMs)) is essential, but 'national consensus', i.e., including the general public, is unrealistic in view of the new and complex concepts involved in REDD+ and the short time frame of the NP. It would have been more appropriate to express this outcome in terms of institutional readiness, including inter-institutional and stakeholder collaboration (while also noting that Outcomes 2 and 3 contribute significantly to institutional readiness).

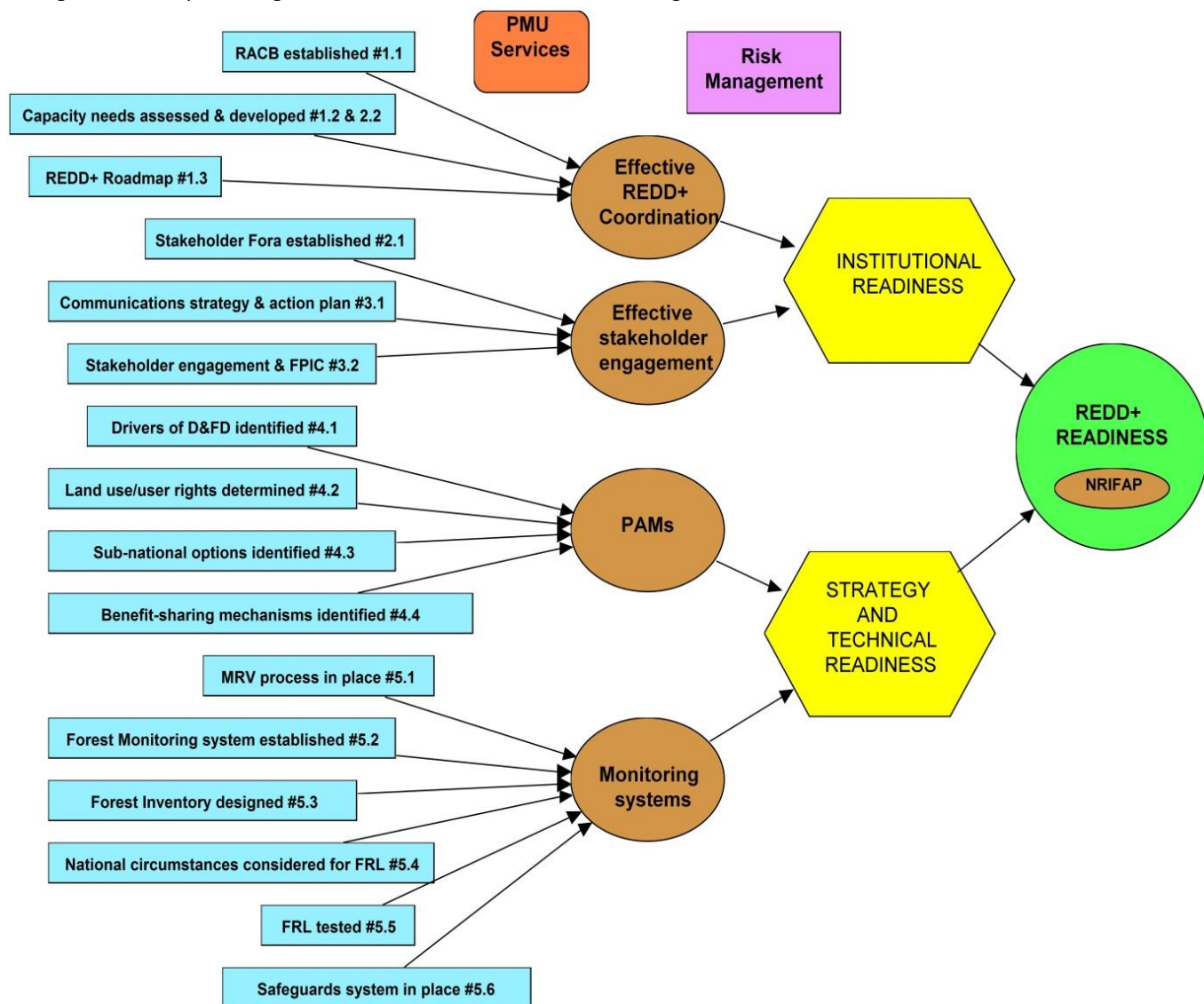
The objective of the NP is appropriate but might have been more directly phrased, e.g., to achieve a sufficient level of institutional, technical and strategy readiness, including identification of PAMs and development of a 'fit for purpose' national REDD+ strategy, for effective and efficient REDD+ implementation.

3.1.2 Theory of change, causal relationships and design gaps

Figure 1 presents the theory of change of the NP as derived from the National Programme Document¹. The theory of change of the NP was that effective implementation of the 18 outputs in the (revised) Results Framework (see Annex 5) would result in a set of outcomes that, when taken together, would achieve REDD+ institutional, strategy and technical readiness, and thereby fulfil the overall objective of supporting the Government of Sri Lanka in catalysing the establishment of key central mechanisms and processes and development of the capacities required to implement REDD+.

¹ Sri Lanka UN-REDD National Programme. 2013. National Programme Document.

Figure 1. Theory of change of the Sri Lanka UN-REDD National Programme



This NP theory of change was presented for validation at the Theory of Change Workshop conducted on 4th May 2017. Based on contributions of the workshop participants (Annex 6), several ‘design gaps’ or additional activities or outputs¹ were identified as detailed in Table 1. These ‘design gaps’, which generally corresponded to constraints or difficulties encountered during implementation of the NP, included:

- Programme Executive Board (PEB)/REDD+ Advisory and Coordination Board (RACB) member institutions with better feedback mechanisms;
- PEB/RACB members trained according to their roles in the NP;
- Capacity building needs assessment (CBNA) for the readiness stage conducted at the beginning of the NP and separately to conduct a CBNA for the implementation stage (the timing of the actual CBNA was good for the latter, but too late for the readiness needs);
- A more targeted communications strategy, e.g., high level politicians;
- Capacity building of civil society organisations (CSOs) involved in the NP;
- Deforestation and forest degradation (D&FD) drivers’ study with a stronger scientific or empirical basis, and including analysis of constraints to carbon stock enhancement activities;
- Development of allometric equations for the National Forest Inventory.

Other actions that could have mitigated problems or constraints faced by the NP, according to the workshop participants, included:

- Developing a common understanding of the purpose of the Roadmap²;
- Clearer demarcation of roles between the PMU and the national UNDP and FAO offices;
- Harmonisation of management and financial modalities would have reduced delays of some activities;
- More systematic vetting of CVs by the UN agencies, especially UNDP, so that the PMU would have a shortlist of appropriately qualified consultants to choose from rather than a long list;
- Smaller Technical Working Groups (TWGs) and Task Forces with more technically qualified members;
- More nationally contextualised application of the Cancun Safeguards as regards indigenous peoples (IPs); notwithstanding the importance of IPs in the Cancun safeguards, some PMU members felt that the attention and time given to the IP population was out of proportion with their level of forest dependency and/or potential (unclear) role in the NRIFAP;
- Safeguards analysis should have been conducted earlier in the NP process;
- Trainings on technical topics more adapted to the level of the trainees.

Notwithstanding the shortcomings in some of the implementation aspects which highlighted some design gaps, the overall design of the NP has withstood these challenges and has proved satisfactory.

¹ These can be considered as somewhat equivalent to ‘impact drivers’ in the Review of Outcomes to Impacts (ROtI) methodology, but they relate to linkages between activities/outputs and outcomes rather than between outcomes to impacts (longer-term impacts will only be revealed as a result of REDD+ implementation).

² Sri Lanka UN-REDD National Programme. 2015. Roadmap for REDD+ Implementation in Sri Lanka

Table 1. Design gaps (additional activities/outputs) and other actions that could have mitigated problems or constraints faced in the NP

NP Outputs	Gaps (additional activities/outputs)	Other actions that could have mitigated problems/constraints	Related observations by workshop participants
Output 1.1: Broad-based, multi-stakeholder national REDD+ advisory group established	<ul style="list-style-type: none"> Internal feed-back mechanisms of PEB/RACB member institutions; Targeted capacity building of RACB members based on their role in the NP 		<ul style="list-style-type: none"> Covered in Capacity Building Needs Assessment
Output 1.3: National REDD+ Roadmap prepared		Development of a common understanding of Roadmap purpose	
Output 2.1: UN-REDD Programme implementation arrangements established (PMU; Networks; TWGs)	(more) Technical training of 'non-technical' stakeholders	<p>More clearly identified and respected roles of PMU vs national UNDP & FAO offices;</p> <p>Harmonisation of management and financial modalities of the UN agencies;</p> <p>CVs better vetted by UN agencies for shortlists of consultants;</p> <p>TWGs/TFs with fewer (<10) & more technically qualified members;</p> <p>Consultation of all stakeholder agencies before convening meetings.</p>	<p>IUCN implementation of NP activities resulted in high cost; UN Environment country representation would have reduced the PMU workload;</p> <p>Different management & financial modalities caused delays.</p>
Output 2.2: Capacity Building Action Plan developed for REDD+ [c.f., Output 1.2]	2 CBNAs: 1 st CBNA for readiness stage at beginning of NP; 2 nd CBNA for implementation stage at end of NP		Several trainings were ad hoc since the CBNA was carried out towards the end of the NP.
Output 3.1: Strategic communication and consultation plan prepared	Targeted Communications Strategy based on better identification of the audience, e.g. politicians; Increased coordination amongst RACB agencies and follow-up on communications' activities	Wider communication/diffusion of the Communications Strategy.	Communications work disrupted due to issues over FD implementation of UN Environment component. This was corrected in 2015 by engaging IUCN Sri Lanka.

NP Outputs	Gaps (additional activities/outputs)	Other actions that could have mitigated problems/constraints	Related observations by workshop participants
Output 3.2: Stakeholder engagement in REDD+ Readiness process enhanced (including FPIC, civil society, private sector engagement)	Capacity building of CSO platform members in fund raising and technical areas; Capacity building of FD to better promote private sector support.	Attention to IPs reflecting the national context; Clarified role of private sector in the NP; Improved coordination of CSO Platform members for more effective decision-making.	IPs with unclear forest sector importance/role in NRIFAP; Private sector engagement plan not used due to unclear role; Proposal that academic and research platform (ARF) should be integrated into FD
Output 4.1: Drivers of deforestation and forest degradation, etc.	Drivers study with stronger empirical basis, e.g., spatial analysis; Analysis of constraints to carbon enhancement	More complete TORs for drivers' study	
Output 4.2: Land tenure and use rights clarified towards the benefit sharing of REDD+		TORs better adapted to country requirements	Tenure report was very useful for screening PAMs, but not for stated original purpose; TORs were revised and consultant changed; Lack of tenure data.
Output 4.3: Options for addressing D&FD at sub-national level identified		Use of updated development plans	Output 4.3 was redesigned, including Non-Carbon Benefits study, support to CBR+, district level awareness activities, etc.
Output 4.4: Options for benefit sharing identified			Output understood more as the financial arrangements for the Implementation phase; benefit sharing options require clarity/guidance on RBPs
Output 5.1: MRV process initiated		More appropriate technical level of trainings for trainees	Some trainings were too advanced
Output 5.3: National forest inventory designed	Timely development of allometric equations	Better communication between trainers and trainees	
Output 5.6: Framework for social & environmental risk mitigation/benefit		Safeguards study earlier in NP process	Concerns expressed on quality of safeguards' study

<i>NP Outputs</i>	<i>Gaps (additional activities/outputs)</i>	<i>Other actions that could have mitigated problems/constraints</i>	<i>Related observations by workshop participants</i>
enhancement designed			

3.1.3 Risks and assumptions

The Theory of Change Workshop participants firstly reviewed the accuracy of the ‘risks’ analysis in the National Programme Document (2013). The term ‘risks’ is used in this report since this was the terminology used in the National Programme Document (NPD) to refer to a range of challenges, almost all of which were within the power of the NP to influence; these so-called ‘risks’ did not therefore conform to the established definition of a risks as being outside the power of the programme to influence. Only three of the pre-identified ‘risks’ were actually revealed during the NP according to the workshop participants: weak inter-institutional coordination, an ineffective national REDD+ coordination mechanism, and limited technical capacity to deal with the ‘technical areas’ (MRV, FRL, etc.).

Workshop participants then identified the ‘risks’ that actually affected the NP (Table 2). All the identified ‘risks’, unless they are prevented or mitigated, will continue to affect the Implementation stage. Following the workshop, the Evaluation Team identified the corresponding ‘assumptions’ (again recognising that they are not external risk assumptions). Most of the ‘risks’ and ‘assumptions’ fall into three main groups:

- Inter and intra-institutional coordination, support and policies;
- Participation of CSOs;
- Measurement, Reporting and Verification (MRV) and safeguards’ monitoring.

Table 2. Risks and assumptions for REDD+ readiness and implementation

	<i>‘Risks’ identified in Theory of Change Workshop</i>	<i>‘Assumptions’ identified by the Evaluation Team</i>
Output 1.1: Broad-based, multi-stakeholder national REDD+ advisory group established	<ul style="list-style-type: none"> • Weak coordination & information exchange between government departments/ Ministries; • Erratic meeting attendance by RACB members; • RACB not formally approved by the Cabinet 	<ul style="list-style-type: none"> • Sufficient intra and inter- institutional coordination & info exchange for effective REDD+ implementation; • Regular attendance by RACB members; • Cabinet approval of RACB.
Output 1.3: National REDD+ Roadmap prepared	Loss of PMU members and momentum due to lack of bridging finance between readiness and implementation stages	Momentum is not lost and high quality human resources are available for the implementation stage
Output 2.1: UN-REDD Programme implementation	PMU/REDD+ Technical Secretariat without control over all implementing agencies	PMU/REDD+ Technical Secretariat has management and financial control over all implementing agencies

arrangements established		
Output 3.2: Stakeholder engagement in REDD+ Readiness process enhanced	<ul style="list-style-type: none"> • Domination of SLCFAN by a few individuals/CSOs; • Government 'favouritism' for some CSOs; • Internal conflicts among SLCFAN board members 	<ul style="list-style-type: none"> • SLCFAN is not dominated by a few individuals/CSOs; • Equal treatment of CSOs by government; • Common vision amongst SLCFAN Board Members
Output 4.3: Options for addressing D&FD at sub-national level	Policies not harmonised between Ministries	Harmonised policies between Ministries
Output 4.4: Options for benefit sharing identified	Weak governance in benefit-sharing mechanisms (if RBPs are used in implementation stage)	Good governance in benefit-sharing mechanisms (depending on use of RBPs)
Output 4.5: National REDD+ Strategy developed	Cabinet does not approve NRIFAP	Cabinet approval of NRIFAP
Output 5.1: MRV process initiated	Harmonised/consistent data and national emissions factors unavailable	Harmonised/consistent activity data and national emissions factors are available
Output 5.2: National forest monitoring systems established	Poor availability of data, maps and technical expertise for NFMS	Data, maps and technical expertise are available for NFMS
Output 5.3: National forest inventory (NFI) designed	NFI crews with low motivation for fieldwork, e.g., due to low payment levels	NFI crews are sufficiently motivated for fieldwork
Output 5.6: Framework for social and environmental risk mitigation/ benefit enhancement designed	Partial and late involvement of CCS in the SIS design process; weak execution by CCS of its role in safeguards' implementation	Full and early involvement of CCS in SIS design process; CCS is effective and efficient in its role in safeguards' implementation

As regards inter and intra-institutional coordination, key 'assumptions' are:

- Sufficient intra and inter- institutional coordination and information exchange for effective REDD+ implementation;
- Harmonised policies between ministries; and,
- Regular attendance of meetings by RACB members.

As regards CSO involvement, the (inter-related) assumptions are:

- The CSO Network (SLCFAN) is not dominated by a few higher capacity individuals/CSOs;
- The government gives equal recognition to CSOs;
- Absence of internal conflicts between CSO platform members.

For MRV and safeguards' monitoring, the assumptions are:

- Harmonised/consistent activity data and national emissions factors are available;
- Necessary data, maps and technical expertise are available;

- National forest inventory (NFI) crews are sufficiently motivated for fieldwork (in view of their low levels of remuneration);
- Full and early involvement of the Climate Change Secretariat (CCS) in the Safeguards Information System (SIS) design process.

3.1.4 Extent to which drivers for change have been recognised and supported

The PMU and NP Director were highly responsive to the changing needs and evolving understanding of REDD+ in what was a very steep learning curve (especially since the Sri Lanka NP is one of the earliest national UN-REDD programmes). The capacity of the PMU for effective adaptive management has resulted in the NP making good use of the drivers or opportunities for change. This included having the capacity to modify TORs according to the needs and context, for example, in the case of the land tenure study.

An example of this was the South-South collaboration on the National Forest Inventory (NFI). A comprehensive NFI methodology was developed by the international consultant, but there was no follow-up support for implementation. To overcome this challenge, several senior staff of the FD were sent on a study tour to the Forest Survey of India (FSI). This proved successful as regards knowledge and motivation for implementing the NFI, including development of bespoke NFI software adapted from FSI software. Since FSI did not charge for their services, a saving of USD 98,000 was made which was used for piloting the NFI (a new and unbudgeted activity).

Another example was the decision not to proceed with a PAM to develop payments for ecosystem services (PES). This was largely due to the land tenure complexities revealed by the land tenure report¹, as well as advice sought from the International Water Management Institute (IWMI). The concepts of valuation and compensation of ecosystem services were not however abandoned, but took the form of an international symposium on 'Valuation of Forest Ecosystems and their Services' (October 2016) organised by the Academic and Research Forum (ARF) with strong support and guidance from the NP Director and PMU; secondly 'conservation easements', a PES-like instrument was included in PAM 11. The symposium helped empower and strengthen the ARF.

3.1.5 Relevance and appropriateness of indicators

The indicators in the Results Framework were considered relevant and appropriate.

3.1.6 Institutional set-up and management arrangements

Overall Programme Management

¹ Sri Lanka UN-REDD Programme. 2016. Land Tenure Considerations in Sri Lanka's Proposed National REDD+ Strategy. Colombo

The REDD+ Readiness Preparation Proposal (2012) proposed a REDD+ Programme Management Coordinating Committee (RPMCC) composed of representatives of numerous Ministries and departments, as well as civil society, the private sector, academics, and the national FAO and UNDP offices. The proposed management structure is shown in Figure 2 excerpted from the Inception Report of the Readiness Phase¹. This did not include the Department of Wildlife Conservation (DWC) (probably an oversight).

Shortly after the NP commenced, the Programme Executive Board (PEB) was formed as a 'decision-making body'². TORs of the PEB were approved at the 2nd meeting of the PEB (9th January 2014). The main purpose of the PEB was to provide guidance/oversight to the NP. Operationally, this involved approval or revision of annual work plans and budgets, as well as monitoring and evaluation (M&E) of implementation progress³. Initial membership of the PEB is shown in Table 3.

During the second half of the NP, at the 8th meeting of the PEB (14th January 2016), the PEB decided to establish two committees in its place:

- *The UN-REDD Steering Committee (SC)*: The SC replaced the PEB with the responsibility for operation of the NP, and will cease to function at the end of the NP. The SC was expected to continue to provide guidance/oversight, including appraisal and approval of annual and quarterly plans, budgets and semi-annual and annual reports, and to ensure delivery of the intended results and address critical issues and risks relevant to programme implementation⁴.
- *The REDD+ Advisory & Coordination Board (RACB)*. This was formed with 41 members⁵, and with the objectives of integrating the national REDD+ strategy in RACB members' organizations, preparing them for the implementation stage, and ensuring efficient and transparent decision-making in the implementation stage. The plan is that the RACB, hosted by the Ministry of Mahaweli Development and Environment (MoMD&E), will continue through the implementation phase. Cabinet approval is being sought for the RACB; this would institutionalise it and ensure government funding.

¹ Sri Lanka UN-REDD Inception Workshop 7 June 2013; UN REDD Programme; Colombo

² See Minutes of the First PEB Meeting, 4th September 2013.

³ TORs of the Programme Executive Board (PEB); UN REDD Programme, Sri Lanka; January, 2014

⁴ TORs of UN-REDD+ Steering Committee (undated); UN REDD Programme, Sri Lanka

⁵ TORs of the REDD+ Advisory & Coordination Body (undated); UN REDD Programme, Sri Lanka

Figure 2. Organisational and management structure of the NP

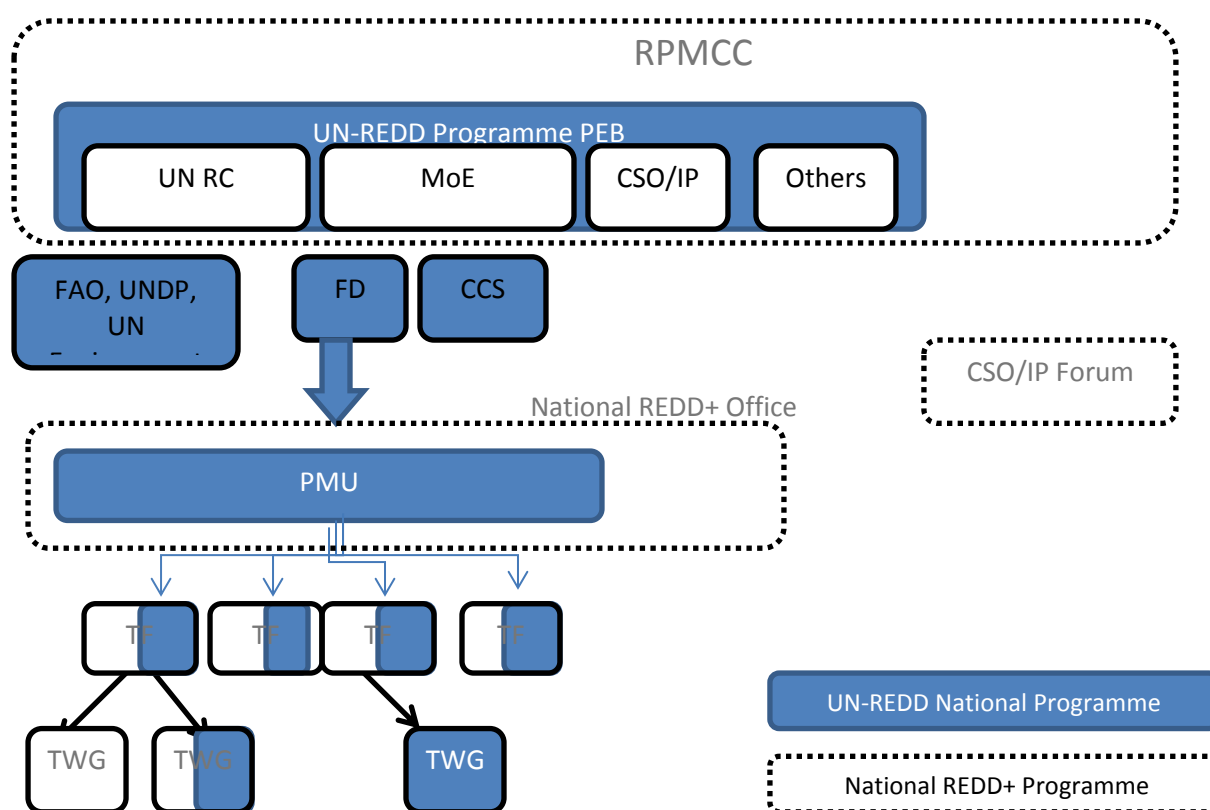


Table 3. Initial composition of the Programme Executive Board

Ministries	Ministry of Environment & Renewable Energy, Ministry of Economic Development, Ministry of Lands and Land Development, Ministry of Agriculture, Ministry of Irrigation & Water Resources Management, Ministry of Plantation Industries
Government Departments	Forest Department, Department of Wildlife Conservation, Climate Change Secretariat, Department of National Planning, Department of External Resources, Survey Department of Sri Lanka, Department of Meteorology
Boards/Corporations	Central Environmental Authority (affiliated to the Ministry of Environment) Mahaweli Authority of Sri Lanka (affiliated to the Ministry of Irrigation)
Civil Society	Civil Society and IP (Vedda) platforms
UN agencies	FAO, UNDP, UN Environment

At the 2nd meeting of the SC (27 September 2016), members expressed the view that RACB was “*not effective enough as an advisory body to oversee REDD+ implementation due to its large number of members.*” However, no decision to resolve this concern seems to have been taken.

Attendance of members at PEB, UN-REDD SC and RACB meetings is shown in Annex 7. In general, most members attended, indicative of their commitment, although attendance of UN-REDD SC and RACB meetings was a bit less consistent than PEB meetings (there was also a perception from the Theory of Change Workshop that RACB meetings have been less well attended). When the primary representative was absent, an ‘alternate’ member usually attended.

The PMU was established in August 2013 with an office in Pelawatta, Battaramulla. The initial staffing included the National Programme Manager (NPM), Technical Advisor (UNDP), Stakeholder Engagement Officer (UNDP)¹, Communications Officer (UN Environment) and international and national MRV Consultants (FAO). Part-time services of a Chief Technical Advisor (CTA) were provided from the FAO HQ office. The PMU also included administrative and financial support staff. In the first quarter of 2015, a permanent CTA was appointed since it was found that part-time services were inadequate for effective implementation. The PMU has been well organised, has had good external relations, and been well regarded by stakeholders.

The Conservator General of Forests, in his capacity as NP Director has provided high quality leadership and oversight. Under his guidance and supervision and in coordination with the UN agencies, the NPM took responsibility for management and administration of the NP. This has involved regular direct contact between the NP Director and NPM. The NPM was directly accountable to the Forestry Department (FD) and the UN agencies.

The Regional Technical Team (RTT) has provided technical assistance or backstopping to national staff. For routine operational matters, they have usually communicated with the NPM and the CTA. The RTT is comprised of experts from the three UN agencies located in Bangkok, as well as technical support from FAO HQ.

Task Forces and Technical Working Groups

The PEB also formed a number of Task Forces (TFs) and supporting Technical Working Groups (TWGs) to guide the technical studies. These were composed of subject matter specialists, had TORs approved by the PEB, and were considered part of the management structure of the NP. The TFs were authorised to appoint the TWGs, subject to PEB approval, to undertake specific work packages. Membership of the TWGs and TFs is presented in Annex 8.

The TFs have been operationalised at different points of the NP. For example, the MRV TF was established at an early stage, and proved critical for the MRV component. It has had a good spread across government institutions with 5-6 departments represented, and was able to build capacity among younger FD staff. The delayed Communications TF was composed of some of the best communications' people in Sri Lanka and, led by the NP Director, was instrumental in producing high quality communications products, including the NRIFAP document.

3.1.7 Adequacy of time frame for implementation

The time frame would have been adequate if there had not been a very slow start to the NP, as documented in the Internal Review². The characteristics of the NP, such as the multi-stakeholder engagement and cross-sectoral state agency collaboration, contributed to the delayed start. Furthermore, the concepts and philosophy of REDD+ were new requiring time for the agencies to

¹ This position was created sometime after the PMU was established.

² Sri Lanka UN-REDD Programme. 2015. Internal Review. Draft Report (26 February 2015).

understand it. At that time (December 2014), the NP time lapsed was 55% and the corresponding budget expenditure was 24%. The Internal Review noted that annual work plans were ambitious. There were several reasons for the delays, including absence of a resident CTA, difficulties in hiring consultants, procedural issues in fund disbursement (e.g., UN Environment funds routed via FD) and issues around the quality of outputs.

The slow start resulted in several key activities and outputs being implemented towards the end of the NP, such as the tenure study (April 2016), the Capacity Building Needs Assessment (November 2016), the Safeguards studies (September and November 2016) and submission of the Forest Emissions Reference Level (FRL) to the UNFCCC in January 2017. While delivery of the outputs picked up significantly during the second half of the NP, the initial slow pace required a ‘no-cost’ extension of 15 months to 30th June 2017. At the time of the evaluation mission, the CTA was still working on some of the outstanding safeguards’ issues such as rationalisation of the Sri Lankan safeguards and development of the Safeguards Information System (SIS).

3.1.8 Adequacy of financial resources and appropriateness of budget allocation

The original budget of the NP is presented in Table 4. There was a consensus that the budget allocations were adequate for implementation of the activities and achievement of the outputs. There were issues of slow disbursement in the early part of the NP, for example, slow disbursement was one of the factors leading to the decision to contract the Sri Lanka office of the International Union for the Conservation of Nature & Natural Resources (IUCN) to implement the Communications Strategy, but there was no problem with the direct financing from FAO and UNDP. (A more detailed financial analysis is presented in Section 5.1).

Table 4. UN-REDD Sri Lanka National Programme budget (USD)

<i>UN Agency</i>	<i>Budget USD</i>
FAO	2,410,000
UNDP	915,000
UN Environment	413,318
Sub-total	3,738,318
Indirect Support costs (7%)	261,682
Total	4,000,000
Direct Co-Financing	
Government of Sri Lanka (Grant)	500,000
Government of Sri Lanka (Kind)	1,000,000
UNDP (Grant)	15,000
FAO (Grant)	15,000
UNV Italy (Kind)	50,000
UN-REDD Targeted support by FAO (Grant)	13,900
Total	1,593,900

3.1.9 Methodology of implementation

Programme implementation has followed several funding modalities: direct execution (FAO), direct execution and national execution (UNDP), and national execution (UN Environment). The funding arrangements of the project components can be summarised as follows:

- FAO Component (Outputs 1.2, 2.1, 4.2, part of 4.3, 5.1-5.5)
- UNDP Component (Outputs 1.1, 1.3, 2.2, 3.2, 4.1-4.5, 5.6);
- UN Environment Component (Output 3.1)

The FAO component was directly handled by the FAO Representation in Sri Lanka. For the UNDP component, some work was directly contracted and other work was undertaken through a third party, usually via the FD. The UN Environment work was initially executed by FD, but as noted in 3.1.8 was later contracted to IUCN through three Small-Scale Funding Agreements (SSFAs).

In general, the PMU has been able to effectively coordinate the work of the three UN agencies, except in the case of the UN Environment-IUCN communications component, which was implemented through a SSFA between UN Environment and IUCN. As it was not a party to the SSFA, PMU did not have direct management control of the communications component, although the communications officer was physically in the PMU and worked closely with other PMU members. The methods used in the various processes and studies were generally good due to the high technical calibre of the PMU team and good technical support from Regional and HQ offices.

3.1.10 Stakeholder engagement

Stakeholder identification, engagement and participation were in general highly rated by key informants, as well as in the Theory of Change Workshop. This has been achieved through establishing four stakeholder fora that have facilitated stakeholder engagement. It was generally accepted that this represented a unique and model experience among development programmes in Sri Lanka.

The Civil Society Organisation (CSO) Platform

The CSO Platform, composed of 45 Members, was established through a transparent process in late 2013 with the aims of strengthening cooperation (in the REDD+ process) between and amongst all government and non-governmental stakeholders, and establishing adequate mechanisms for transferring/disseminating information from the national to grass roots level. A seven-member Convening Committee was selected through voting to represent the full CSO Platform. The CSO Platform has met quarterly, whilst the Convening Committee has met more frequently. The Platform and Convening Committee have met regularly, and been well supported by the PMU. An important development as regards sustainability is that the CSO Platform has been registered as a non-profit company called the Sri Lanka Climate and Forest Action Network (SLCFAN).

Two representatives from the CSO Convening Committee were selected through a transparent process to represent the CSO Platform in the PEB. While the CSO Network is ground-breaking, a concern is the dependence on one or two individuals and NGOs in the platform. The current Chair has been re-elected twice (through voting) in spite of this not being in accordance with the constitution of SLCFAN; this was attributed to the lack of alternative leadership capacity in the CSO platform and a rather lacklustre approach to taking responsibility among the members.

SLCFAN is currently hosted by the NGO Centre for Environmental Justice (CEJ) of the Chair of SLCFAN. Consequently, management responsibility of SLCFAN funds also lies with this NGO. A key function is to disburse funds to members for their activities, and some instances of delays in disbursement of funds were reported by SLCFAN members. The reasons for these delays are unclear.

The Indigenous Peoples' (IP) Platform

As in the case of the CSO Platform, an IP Platform, consisting of 30 representatives (20 men and 10 women) from six IP (*Veddha*) clans has been established. Meetings have been held in *Veddha* villages near Maduru Oya, and with the participation of PMU representatives. A Member of the IP Platform sits on the PEB (there are no TORs for the IP Platform).

An area of debate has been the attention given to the *Veddha* people in accordance with the Cancun safeguards and guidance from RTAs. There was general agreement that notwithstanding the importance of the rights of IPs in the Cancun safeguards, there was a lack of national contextualisation of the safeguards, and that the attention and resources allocated to the *Veddhas* was out of proportion with their number, level of forest dependence and potential role (unclear) in the NRIFAP; this may have resulted in opportunity costs as regards attention to other vulnerable stakeholder groups.

Private Sector Platform

The NP has also recognised the importance of ensuring the private sector is involved in the REDD+ process in Sri Lanka. A study was commissioned in 2015 to explore avenues of private sector engagement in REDD+ processes¹. This study revealed a high level of awareness among private sector operators that climate change will have a serious impact on their businesses, and 70% of businesses were already involved in forest-friendly initiatives such as tree planting. The Ceylon Chamber of Commerce (CCC) and the National Chamber of Commerce of Sri Lanka (NCCSL) were appointed to the UN-REDD Steering Committee and to the RACB to promote private sector engagement in REDD+.

The Academic & Research Forum (ARF)

The ARF was formed in 2016 to provide technical guidance and support for studies, assessments and processes related to the development and implementation of NRIFAP, as well as to support

¹ Final Report on Private Sector Engagement in UN REDD+ Programme, 2015; Sri Lanka UN-REDD Programme Final Evaluation of the Sri Lanka UN-REDD National Programme. Final Report June 2017

stakeholder groups make policy decisions by providing necessary information. ARF members (currently 30) were selected from nominations received from the Universities. The ARF is represented on the SC and RACB.

A significant achievement of the ARF was organisation of the International Research Symposium on Valuation of Forest Ecosystems and their Services held in late 2016. In addition, ARF provided constructive critique to the NRIFAP during its development, and has provided some important technical inputs to the final published version.

Journalist Team

Due to the importance of awareness raising in the readiness stage, the PMU established a small network of key journalists, especially environmental and development journalists, with the aim of stimulating them to write articles on the importance of Sri Lanka's forests, including for climate change mitigation, and to support advocacy activities.

3.2 Relevance

3.2.1 Alignment with Government of Sri Lanka priorities

At the time of project formulation, Sri Lanka Government's development context was embodied in *Mahinda Chintana*¹. Its outlook for the environment was to envision "a land that is in harmony with nature." This was to be ensured by the choices made in response to the many challenges that confront the country, and, embodying the principles of environmental sustainability, that do not impair the living conditions of the people, and the biological diversity and productivity of the natural environment. In terms of this development vision, the project is very relevant.

The NP is also in line with Sri Lanka Government's National Action Plan for *Haritha Lanka* (Green Lanka)². It directly addresses two out of the 10 thrust areas, namely, saving the fauna, flora and ecosystems, and meeting the challenges of climate change. The environment-related Sustainable Development Goals are also intrinsically related to the *Haritha Lanka* programme.

The NP directly supports the MoMD&E in its national initiative of climate change mitigation, including support to the Climate Change Secretariat of the MoMD&E, the National Designated Entity for the UNFCCC. The NP has supported and complemented the National Climate Change Adaptation Strategy for Sri Lanka 2011-2016³, the National Climate Change Policy (NCCP)⁴, and the National Adaptation Plan for Climate Change Impacts in Sri Lanka⁵.

3.2.2 Alignment with United Nations Development Assistance Framework (UNDAF) and other donor priorities

Environmental sustainability and resilience is a focus area in the UNDAF Sri Lanka Country Programme for 2013-2017,⁶ and is central to the fourth UNDAF outcome on environmental sustainability, climate change and disaster risk reduction. In terms of this focus area, UNDAF will support policy development and technology transfer, and strengthen institutions to integrate information from environmental assessments, hazard and vulnerability profiles, and climate impact studies. Low carbon growth will be promoted in the forms of emissions reductions, renewable

¹ *Mahinda Chintana*: Vision for a new Sri Lanka; A ten year horizon development framework 2006-2016; Department of National Planning, Sri Lanka.

² National Action Plan for *Haritha Lanka* Programme. National Council for Sustainable Development Presidential Secretariat, Colombo 01. Convener: Ministry of Environment and Natural Resources, Battaramulla. January 2009.

³ National Climate Change Adaptation Strategy for Sri Lanka 2011-2016; Climate Change Secretariat of the Ministry of Mahaweli Development & Environment, Battaramulla (2010).

⁴ National Climate Change Policy Climate Change Secretariat of the Ministry of Mahaweli Development & Environment, Battaramulla (2012).

⁵ National Adaptation Plan for Climate Change Impacts in Sri Lanka 2016 to 2025 Climate Change Secretariat of the Ministry of Mahaweli Development & Environment, Battaramulla (2015).

⁶ United Nations Development Assistance Framework for Sri Lanka, 2013-2017 (October, 2012).

energy and energy efficiency. The NP is therefore highly relevant to the UNDAF country framework, and is in line with UN assistance to Sri Lanka to meet its international obligations.

The NP also falls within the priority areas of many bi-lateral and multi-lateral donors. For example, the World Bank's Country Partnership Framework (CPF)¹ addresses and expands on two priorities identified under the sustainability pillar of the Systematic Country Diagnostic (SCD): balancing imperatives to preserve Sri Lanka's natural assets, and managing the impact of climate change through adaptation, mitigation, and strategies that reduce the country's carbon footprint.

3.2.3 Alignment with the UN-REDD Programme Strategy

The project's accomplishments can be assessed against the outcomes and cross-cutting themes of the UN-REDD Programme Strategy as follows:

- Outcome # 1: The Programme has developed the NRIFAP with broad stakeholder consultation; the draft NRIFAP was also available for public comments, invited through press notices. The NRIFAP is awaiting approval of the Cabinet of Ministers, and will then be integrated into the national planning process and national budgeting process². The NP has also developed the Safeguard protocol to address the Cancun safeguards, and has started documenting ecosystem values. A national symposium was held in late 2016 to examine the valuation processes and identify the range of benefits/services in ecosystems, landscapes, species and other biodiversity-linked aspects, demonstrate ecosystem value using economic tools, and to develop value capture, i.e., incorporating ecosystem and biodiversity benefits into decision-making through incentives and price signals.
- Outcome # 2: The project has fulfilled the MRV requirements of the UNFCCC; it has established the national forest monitoring systems (NFMS) in the Forest Department with an on-line geoportal, designed and piloted the National Forest Inventory (NFI), established the forest reference emissions level (FREL/FRL), and the FRL has been submitted to the UNFCCC.
- Outcome # 3: NRIFAP has identified, through a process of evaluation and consultation, a suite of 13 PAMs.

As regards cross-cutting themes of the UN-REDD Programme Strategy it can be noted that:

- Stakeholder engagement has been satisfactorily accomplished through establishment of four stakeholder platforms, which have been very active during the NRIFAP process.
- Forest governance is addressed substantially in the NRIFAP, especially in PAM1.
- Gender equity is also addressed in the NRIFAP through efforts to promote gender involvement in PAM implementation (but see Section 4.2).
- Land tenure issues are addressed in a consultancy report on the land tenure situation.³

¹ Report No. 104606- Country Partnership Framework for the Democratic Socialist Republic of Sri Lanka for the Period FY17–FY20 May 31, 2016 World Bank.

² The evaluators were informed during the mission that the Ministry of Finance has requested the NRIFAP document in order to decide what activities to include in the 2018 budget as part of a government commitment of USD 20 million over five years to support implementation of the NRIFAP.

³ Sri Lanka UN-REDD Programme. 2016. Land Tenure Considerations in Sri Lanka's Proposed National REDD+ Strategy. Colombo

4 Results and contributions to stated objectives

4.1 Outputs and outcomes

General Assessment:

Outcome# 1: The achievements are generally **moderately effective**; establishment of the coordination mechanism (PEB/SC/RACB) is the main consideration: this has struggled to achieve the levels of intra- and inter-agency communication needed.

Outcome # 2: The achievements are **effective**; the PMU is well received by other agencies, and has been effective in harnessing the expertise of external agencies.

Outcome # 3: The achievements are **effective**; stakeholder engagement is seen as a model. The communications products culminated with the impressive ceremony on 9th May 2017 at which the NRIFAP was handed over to HE the President of Sri Lanka (see Box). The NRIFAP document itself is very impressive in the way that it presents a lot of in-depth information in a style and format that is easy to read and understand.



NRIFAP Handing over

At an impressive ceremony held at Nugasevana in the Bandaranaike Memorial International Conference Hall, Colombo 7 on 9 May 2017, NRIFAP was ceremonially handed over to H E the President, Maithripala Sirisena, who is also the Minister of Mahaweli Development & Environment, by Ms Una McCauley, UN Resident Coordinator and UNDP Resident Representative.

The event was attended by nearly 600 including a large contingent of officials from the Forest Department. The

event was graced by several cabinet ministers, the Secretary, Ministry of Mahaweli Development & Environment, who is also the Chair of RACB, Secretaries of several key stakeholder ministries, Mr Uruwarige Wannilaaththo, IP Chief, RACB members, and representatives of donor and international organisations.

The attendees were treated to several high-quality, educative video presentations produced by the communications component of the project highlighting the need for conservation, REDD+ achievements, and the current state of Sri Lanka's forests.

Outcome # 4: The achievements are **effective** with the NRIFAP representing a major, high quality achievement. On the other hand some of the technical inputs were of moderate quality. The effectiveness and efficiency of Multiple Criteria Analysis (MCA) was subject to mixed opinion¹. The

¹ Two PMU members were not in favour of the MCA (seen as academic and complex for some stakeholders) and the consultant, but another PMU member defended the MCA as being a key moment in the readiness process in which stakeholders became more engaged. The mixed views are reflected in reports of the MCA

final consensus was that the outcomes were legitimate, although several further iterations of the PAMs appear in interim reports leading to the 13 PAMs identified in NRIFAP.

Outcome # 5: The achievements are **effective** and have possibly surpassed expectations. It has been possible to undertake pilot forest inventory work within the project period, and which had not been envisaged.

Achievement of outputs¹ with some causal factors

Table 5 is based on key informant interviews and comments from the Theory of Change Workshop. In general it can be seen that the main positive factor in the generally high achievement of the outputs has been the strong and high quality leadership and technical capacity of the PMU and NP Director, and good regional technical backstopping; other causal factors (positive and negative) were the quality (variable) of international and national consultants and issues of intra- and inter-institutional collaboration and leadership, for example, weak collaboration between FD, DWC and CCS. Stakeholder engagement and ownership were in general high, including in the process leading up to the NRIFAP.

Table 5. Achievement of outputs and outcomes with some causal factors

<i>Outcomes and outputs</i>	<i>Assessment of achievement</i>	<i>Causal factors in achieving more (or less) successful outputs and outcomes</i>
Outcome 1. National consensus reached on NP	Consensus achieved among main stakeholders	Effective communications strategy
1.1: Broad-based, multi-stakeholder national REDD+ advisory group established	PEB, SC & RACB ² established & moderately effective	Communications issues within member institutions and some inter-departmental and information issues have reduced effectiveness of PEB and RACB
1.2: Legal, procedural and institutional arrangements for sectors relevant for REDD+ reviewed	Partially effective	Insufficient technical supervision from PMU (first CTA was only part-time)
1.3: National REDD+ Roadmap prepared	Effective but delayed	The delayed Roadmap was a causal factor in the slow delivery of outputs in early part of NP

process. *Prioritising REDD+ Policies and Measures in Sri Lanka* (2015) noted the “prioritization process was a challenging learning experience for all involved” and that “the facilitation side of the prioritization is more problematic” (p.38), while the Roadmap report (2015) mentions doubts in the minds of some stakeholders about the validity of the MCA process (p.42), but that at the end of the process “there was a general feeling that the process had been useful and the outcomes were legitimate” (p.44).

¹ Annex 9 lists the planned, according to the revised results framework (2015), and accomplished activities.

² It can be noted that the meeting minutes of the Steering Committee meeting of 27/09/16 note that the RACB was not considered effective as an advisory board to oversee REDD+ implementation.

Outcomes and outputs	Assessment of achievement	Causal factors in achieving more (or less) successful outputs and outcomes
Outcome 2. Management arrangements contributing to REDD+ process	Effective	High technical quality and motivated PMU provided consultative leadership, and strong NP Director
2.1: Programme implementation arrangements established	Effective	Effective and efficient PMU facilitated establishment of stakeholder fora, Task Forces and TWGs
2.2: Capacity Building Action Plan developed for REDD+	Effective but delayed	CBNA undertaken late in the NP so that some trainings were rather <i>ad hoc</i>
Outcome 3. Improved stakeholder awareness & effective engagement	Effective	Strong leadership role of PMU and NP Director
3.1: Strategic communication and consultation plan prepared	Effective	High quality technical assistance from PMU (via IUCN) following earlier problems with first PMU consultant and disbursement; a key factor was the high quality Communications TF with some experts from the private sector
3.2: Stakeholder engagement in REDD+ readiness process enhanced	Effective	Strong leadership of PMU and the NP Director facilitated stakeholder platforms, although limiting factors were FD's capacity to promote private sector network, low capacity of most CSOs, and divisions between CSOs in Network
Outcome 4. National REDD+ Strategy developed	Effective	High quality of PMU and good stakeholder participation and ownership
4.1: Drivers of deforestation and forest degradation, and legal and policy alignment needs identified	Low/modest effectiveness	The weakly empirical drivers study and failure to assess constraints to carbon enhancement resulted in a weak diagnostic basis for prioritising the PAMs
4.2: Land tenure and use rights clarified towards the benefit sharing of REDD+	Effective	High quality consultant responded effectively to revised TORs and helped clarify several PAMs
4.3: Options for addressing deforestation and forest degradation at sub-national level identified	Effective	PMU leadership, technical assistance, etc., in forest boundary demarcation pilots
4.4: Options for equitable and transparent benefit sharing identified	Not implemented	This was not implemented due to uncertainty and lack of clarity of using results-based payments in the implementation stage
4.5: National REDD+ Strategy (NS) developed	Effective	Leadership of PMU and NP Director, good stakeholder participation, mainly effective TWGs and Task Forces have led to a 'fit for purpose' National Strategy, although issues remain about inter and intra-institutional coordination
Outcome 5. Forest Monitoring System	Effective	PMU leadership, good quality training, technical assistance and prioritised by FD
5.1: MRV process initiated	Effective	PMU leadership and technical assistance and prioritised by FD, although some trainings were over-complex

<i>Outcomes and outputs</i>	<i>Assessment of achievement</i>	<i>Causal factors in achieving more (or less) successful outputs and outcomes</i>
5.2: National forest monitoring system (NFMS) established	Effective	Good quality training, technical assistance and prioritised by FD
5.3: National forest inventory designed	Effective	PMU leadership and South-South cooperation with Forest Survey) of India (FSI) to build implementation capacity
5.4: National circumstances considered for REL/RL	Effective	Good quality technical assistance from FAO HQ and consultants
5.5: National FRL tested	Effective	Good quality technical assistance, consultants, etc.
5.6: Framework for risk mitigation/ benefit enhancement designed	Partially effective	The uneven quality of the consultants meant that there was still much work left to be done, e.g., on the SIS, by the PMU.

The main output of the NP was the NRIFAP, corresponding to Output 4.5. The NRIFAP is a five-year, USD 99 million investment framework to be financed from national and international sources. The NRIFAP includes 13 PAMs within three main policy areas. Several technical or consultancy studies, as well as the work of the PMU itself, have been key to developing the NRIFAP. The efficiency and effectiveness of these technical studies have however been uneven, and delivery in many cases was delayed (for example, the Safeguards and CBNA consultancies should have taken place earlier in the NP). The evaluation found several reasons for the uneven quality of consultancy reports:

- Inadequate competence of some consultants, both international and national - it was sometimes hard to recruit well qualified consultants¹; sometimes the CTA has had to rectify the short-comings in the reports.
- Incomplete TORs (e.g., analysis of constraints to carbon enhancement activities was not included in the drivers' study)
- Delays in recruitment of consultants, particularly by UNDP;
- Delays in completion of studies by consultants.

CBR+ Small Grants Programme

The Community Based REDD+ (CBR+) programme, funded (USD 425,000) by the GEF Small Grants Programme, was not part of the NP, but conceptually was highly complementary to it, since it was designed to support the engagement and participation of communities and IPs in national REDD+ processes. Administered by the UNDP-GEF office, the results have been mixed and the opportunity to inform development of the NRIFAP has been missed. In essence, the CBR+ national plan for Sri Lanka was expected to deliver the outcomes of (a) informing communities about the risks and benefits of REDD+ and providing other kinds of support to enable effective participation in the planning of REDD+ actions and the REDD+ strategy through participatory processes for community engagement, and (b) testing approaches for forest-dependent and indigenous communities to address the drivers of land-use change that could lead to these communities having a role in the national REDD+ strategy.

¹ Some positions were advertised three times before a suitable consultant was found. Identifying an appropriate consultant was not helped by the use of outdated consultants' rosters in some cases.

The evaluation did not come across any evidence of the CBR+ Programme contributing to these objectives. The NRIFAP process started during the 1st quarter of 2016, and the small projects were in various stages of maturity; indeed they were near maturity during the final preparation stage of the NRIFAP. It was very clear that there has been very little engagement between the Small Grants Programme (SGP) and PMU as regards providing inputs for NRIFAP preparation. For example, periodic reports from the projects could have provided some lessons to address as regards objective (b) above. Furthermore, at the field level, there has been minimal engagement with the Forest Department. Thus the SGP has missed an opportunity to enrich the NRIFAP development process. Some further comments on the CBR+ programme by the Evaluation Team are presented in Annex 10.

4.2 Gender issues

Two gender studies were undertaken related to the NP. The first was a study¹ by Women Organising for Change in Agriculture and Natural Resources (WOCAN) in 2013. This identified some of the constraints to gender mainstreaming in REDD+ and the need to develop gender goals and strategies in government, especially FD. The second study², conducted in 2016, reached similar conclusions including a lack of skills and sensitivity in government departments to integrate gender issues, but also reported an openness and interest from some of them. The following gender-related aims and actions are set out in the NRIFAP:

- A target of at least 30% of women on any decision-making body, committee, consultation, workshop, etc.
- The Ministry of Women and Child Affairs to be requested to be on the RACB;
- Women and youth CSOs and community-based organisations to be identified at district and provincial levels, and invited and supported to dialogue and collaborate with the authorities;
- Building capacity to mainstream gender in REDD+ implementation among targeted agencies, institutions, stakeholder platforms, networks and federations;
- Gender-sensitive baseline surveys followed by gender-differentiated indicators in monitoring and evaluation systems.

Most informants were not however optimistic about gender mainstreaming in REDD+ implementation due to the persistence of the constraints identified in the gender reports. An authoritative source felt that the NRIFAP had been insufficiently informed by existing good practice in Sri Lanka, and which is available in the form of semi-processed case studies. Another observation was that gender principles have been applied strongly to civil society, but less strongly to government agencies.

4.3 Capacity development

4.3.1 Review of capacity development activities

PMU has undertaken many capacity development exercises that can be broadly categorised into (a) awareness creation, and (b) enhancing technical capacity (see Annex 11 for a list of capacity building and training events, as well as other products of the NP, such as those of the communications' programme). As regards awareness creation, PMU organised over 50 events, including awareness creation among key stakeholders (Civil Society Platform, academia, private sector, etc.) and participating state agencies. Special events have targeted specific agencies (e.g. External Resources Department, CCS, the plantation sector) and on specific subject areas (e.g. the Cancun safeguards).

¹ WOCAN. 2013. Women's Inclusion in REDD+ in Sri Lanka: Lessons from Good Practices in Forest, Agriculture and Other Natural Resources Management Sectors. WOCAN/USAID/UN-REDD

² Sri Lanka UN-REDD Programme. 2016. Assessing Gender Considerations and Inclusion of Women in the REDD+ Policy Process. Colombo

As regards technical training, the PMU organised nearly 50 training events. The training aimed to ensure that relevant agencies were equipped to meet obligatory international reporting requirements, e.g., Green House Gas inventory, NFMS, NFI design and implementation, FRL and land cover classification. PMU also worked with the ARF to organise a successful international symposium on ecosystem services and valuation.

The evaluation team's observations on the capacity development activities include:

- Awareness raising programmes on REDD+ and other topics have been well formulated and delivered.
- Technical trainings have been generally of high quality, but with some short-comings:
 - The method of delivery and tools used were sometimes inappropriate or too advanced. Some early MRV trainings were ineffective due to a combination of inappropriate training methods (e.g., long PowerPoint presentations), complexity of content (too many new concepts presented too quickly) and in some cases communication difficulties. The MRV related trainings became much more effective when participatory methods and vernacular language were used.
 - Trainees have not always been selected based on their existing capacities to enable them to benefit fully from the training.
 - Although trainings were generally considered good, the utility of some of them could have been enhanced by including a module with practical hands-on analysis.
 - Some 'how-to-do' training modules involving generation of data for reports would have been more useful if the underlying basis for calculations had also been explained (e.g., in a training on FRL, a respondent from the CCS commented that the underlying assumptions were not explained).
- The CCS currently has limited capacity to lead the work on safeguards and obligatory reporting. During the preparatory phase, the CCS received several technical trainings to correct these limitations, and there is now a limited core group of staff with improved skills; however, there is a major threat to the technical capacity of CCS if key technical staff are moved to different posts as has happened at three yearly intervals in the past.
- Some stakeholders felt that trainees need to be more carefully selected. Training of staff who are about to retire was highlighted as an issue. Another problem was that recipient organisations nominated different officers for update trainings (i.e. different to those attending the original training), which was clearly unsatisfactory.
- Post-training evaluations by trainees have not been undertaken.

4.3.2 Institutional uptake and mainstreaming of newly-acquired capacities

The most important agencies for REDD+ implementation are FD, DWC, CCS, the Land Use Planning Department and the Survey Department. These agencies received a substantial portfolio of training, supplemented by hardware such as computers, plotters, printers, GPS equipment etc. Overall the newly acquired knowledge and capacities were well recognised and appreciated in the relevant agencies. All agencies were unequivocal in stating the importance of the training received, and how these trainings have helped them in their day-to-day work as well as in preparation for NRIFAP

implementation. Other agencies (e.g. Department of National Planning) have also acknowledged the importance of the trainings.

In order to effectively mainstream the acquired knowledge, staff at all levels need to be well informed and motivated to cooperate. This was not always evident; for example, middle level officers in FD engaged enthusiastically in the trainings and in REDD+ work, but commitment was less evident among mid-level managers.

Notwithstanding this situation, the diffusion of capacities was evident in the FD field level staff. A good example was the formation of small village-level groups to assist the forest inventory work. The PMU has trained small groups consisting of Beat Forest Officers together with 2-3 community members. It was reported that there have been instances of these small groups training others and forming new groups to accelerate the forest inventory work.

4.4 Sustainability (including exit strategy)

The NP has pursued several actions and initiatives to promote sustainability of the activities and outputs achieved in the readiness phase. The most important of these has been to secure donor funding for some of the PAMs in the NRIFAP: a grant of USD 21 million from the World Bank and UK Department for Environment, Food and Rural Affairs (DEFRA) has been provisionally approved, and the government has made a commitment of USD 20 million over five years from 2018. These commitments already represent a very successful 'exit strategy' for the NP. A further proposal has been submitted by UNDP to the Green Climate Fund (GCF) for USD 38 million. Taken together these three sources would cover the funding required to implement the NRIFAP.

The early success of the NP funding strategy has been partly due to 'projectisation' of the 13 PAMs in the NRIFAP. In Annex 2 of the NRIFAP document each PAM is presented as a discreet project or programme of work, thereby allowing donors to adopt a menu type approach – they can pick and choose PAMs according to their funding criteria.

Another key area for sustainability is the institutional and management arrangements: the RACB was established primarily to provide institutional leadership and national REDD+ coordination in the implementation stage. The RACB, hosted by the MoMD&E, will be incorporated into the government structure and ensure government funding if the cabinet paper on the RACB, currently being prepared, is approved.

The four stakeholder group networks, if they survive the gap between the readiness and implementation stages, would also ensure sustainability of many of the capacity building activities of the NP. To this end the CSO Platform has been converted into a non-profit company (SLCFAN), although at this point there is a worrying dependency on one or two platform members and some divisions between Platform members which represents a threat to sustainability. There is also a plan to incorporate the ARF into the FD, which would strongly promote its sustainability.

Sustainability has also been promoted through training and capacity building activities, and in the technical areas associated with the MRV, notably, the on-line 'geoportal' (<http://www.nfms.lk/portal/>) for land use monitoring, which is now available for use by any project, and links to the national forest inventory to provide information on emissions from the forest sector, and the National Forest Inventory.

On the other hand, CCS technical staff who have received specialist training were expecting to be moved on to a different technical area as has happened every three years in the recent past. It was also mentioned that, in spite of considerable technical capacity building, there was still a concern about national capacity (without strong guidance from the PMU) to write submissions and responses to the UNFCCC, e.g., on *Sri Lanka's Forest Reference Level Submission to the UNFCCC (2017)*.

The main threat to sustainability is the likely six month to one year gap between the end of the NP and operationalisation of the implementation activities, and assuming the committed government funding starts in January 2018. Several sources were concerned about the loss of momentum, survival of the stakeholder networks (especially the civil society and IP networks), the loss of key human resources (some PMU staff have already left) and continuity of the RACB.

4.5 Impact

There can only be weak indirect impacts from a REDD+ readiness programme, such as the impacts of strengthened technical or institutional capacity, since longer-term development or environmental impacts depend on the implementation stage. Development of the NRIFAP has clearly provided a strong basis for long-term positive environmental and social impacts. It is possible that the stakeholder engagement activities may have helped strengthen or empower some CSOs, which could lead to longer-term development benefits, but this is a tenuous proposition, especially since the CSO Network appears to be fragile (even with PMU support).

5 Implementation

5.1 Budget and expenditure

Table 6 shows the budget and expenditure for each output and outcome as at May 2017. It shows that 93% of the budget has been expended. With several outstanding payments, full expenditure will be approached. A few items such as Output 5.1 and Output 4.1 have slightly overspent, and a few have underspent, for example, Output 4.4 since the definition of benefit sharing arrangements was not appropriate, as well as several outputs under Outcome 5. Some of this under-expenditure was redirected to Output 5.3, which was over-expended due to a new (unbudgeted) activity: piloting the NFI. Since sub-national planning (Output 4.3) was not a priority, USD 25,000 were re-directed to support the CBR+ programme. These budgetary decisions were well documented in the minutes of the PEB, RACB and Steering Committee meetings, as shown in Table 7.

Table 6. NP budget, expenditure and balance at May 2017 (USD 000)

Outcomes and outputs	UN agency	Original budget	Expended (to 05/17)	Balance
Outcome 1. National consensus reached on NP		260	248	12
1.1: Broad-based, multi-stakeholder national REDD+ advisory group established	UNDP	50	48	2
1.2: Legal, procedural and institutional arrangements for sectors relevant for REDD+ reviewed	FAO	155	151	4
1.3: National REDD+ Roadmap prepared	UNDP	55	50	5
Outcome 2. Management arrangements contributing to REDD+ process		740	740	0
2.1: Programme implementation arrangements established	FAO	700	697	3
2.2: Capacity Building Action Plan developed for REDD+	UNDP	40	43	(3)
Outcome 3. Improved stakeholder awareness & effective engagement		593	555	38
3.1: Strategic communication and consultation plan prepared	UN Environment	373	356	17
3.2: Stakeholder engagement in REDD+ readiness process enhanced	UNDP	220	199	21
Outcome 4. National REDD+ Strategy developed		760	710	50
4.1: Drivers of deforestation and forest degradation, and legal and policy alignment needs identified	UNDP	160	179	(19)
4.2: Land tenure and use rights clarified towards benefit sharing	FAO	70	52	18
4.3: Options for addressing deforestation and forest degradation at sub-national level identified	UNDP/FAO	400	410	(10)
4.4: Options for equitable and transparent benefit sharing identified	UNDP	100	49	51
4.5: National REDD+ Strategy (NS) developed	UNDP	30	20	10

Outcomes and outputs	UN agency	Original budget	Expended (to 05/17)	Balance
Outcome 5. Forest Monitoring System		1,385	1,243	142
5.1: MRV process initiated	FAO	600	562	38
5.2: National forest monitoring system (NFMS) established	FAO	355	299	56
5.3: National forest inventory designed	FAO	170	225	(55)
5.4: National circumstances considered for REL/RL	FAO	60	14	46
5.5: National FRL tested	FAO	100	76	24
5.6: Framework for risk mitigation/ benefit enhancement designed	UNDP/ UN Environ ment	100	67	33
Sub-total		3,738	3,496	242
Indirect support		261	208	54
Grand total		4,000	3,705	295

Table 7. Decisions taken in PEB and RACB meetings to reallocate budget

Meeting	Decision to redirect budget lines
Programme Executive Board (PEB) #2; 9/1/2014	Increase budget of Activity 3.1.1 from USD 25,000 to USD 50,000 Budget of Activity 3.1.2 reduced to USD 25,000 USD 10,000 redirected to Activity 5.5.1
Programme Executive Board (PEB) #4; 17/9/2014	Revision of activities under Output 4.3 and re-allocation of funds to CBR+ programme (amount not indicated)
Programme Executive Board (PEB) #5; 16/12/2014	Revision of activities under Outputs 4.2 and 4.3 and USD 20,000 re-allocated from output 4.2 to output 4.3 to identify PAMs
RACB # 1; 20/5/2016	Funds allocated for communication support for SIS (Output 5.6) re-allocated to National Research Symposium [on Valuation of Forest Ecosystems and their Services] (amount not indicated) Activities 4.3.6 and 4.3.7 under Output 4.3 merged and new activity 4.3.6 for forest boundary demarcation approved.
Steering Committee # 1 17/5/2016	USD 40,000 under Output 5.6 re-allocated to support the National Research Symposium
Steering Committee # 2 27/9/2016	USD 10,000 from Output 5.6 allocated to the National Research Symposium

There was a consensus that the budget allocations have been adequate for the outputs, and in general, expenditure has been contained within the budgetary allocations. There have been no significant delays in disbursements. Disbursement statements relating to counterpart funding was not available. In sum the financial performance of the NP can be rated as very satisfactory.

5.2 Programme management

5.2.1 Efficiency and effectiveness of operations management

The PMU was established in August 2013 with technical, administrative and finance staff in its own office space in Pelawatta, Colombo, close to government departments. Overall, PMU has functioned well with good external relations. In the first two years there were some delays, but remedial action was taken following the internal review (February 2015). Staff relationships within the PMU have been good, helped by a weekly email summary of events compiled by the Programme Manager. PMU has received good quality technical backstopping from Regional and HQ offices.

The NP has involved direct support from three UN agencies: UNDP, FAO and UN Environment. The PMU was largely funded by FAO with two resident technical staff members from UNDP and a communications officer funded by UN Environment.). UN Environment being a non-resident UN organisation, its activities, such as the communications component, were for the most part executed through the Forest Department and IUCN. The slow pace of work led to a decision to contract IUCN Sri Lanka Country Office for communication work via a SSFA between UN Environment and IUCN. The PMU did not have control of this SSFA and the PMU, being a third party, was unable to get detailed financial reports on the SSFA. This lack of transparency in the SSFA between UN Environment and IUCN led to some management issues (see Section 1.9). Another issue was the

sometimes unclear distinction of roles between PMU and the country offices of UNDP and FAO (for further discussion of support from, and coordination between the UN agencies, see Section 5.3). There were some issues around the process of selecting consultants. These included the time taken to draw up shortlists since the CVs sent to the PMU, especially from UNDP, were sometimes not vetted or filtered to exclude obviously unqualified candidates. There were also occasional differences in agreement between the PMU and regional advisors on the choice of international consultants and/or the TORs, with the former reluctantly agreeing to some of them (e.g., the consultant for prioritisation of the PAMs and first safeguards study). PMU staff however agreed that it was right that regional UN advisors should have the final decision on international consultants (other issues around the consultancies are discussed in Section 4.1).

Another issue has been updating the trilingual website, contracted to IUCN. While creation of the website was effective, the contracted task of regular updating has not been fulfilled. The CTA has had to undertake urgent website updates, having had to learn how to do it (at a cost to his other urgent tasks). Upkeep of the website after the NP is uncertain.

5.2.2 Effectiveness of strategic decision-making

Strategic decision-making in the NP has been the responsibility of the PEB and UN-REDD Steering Committee (SC). The decision-making process has been generally effective under the leadership of the SC Chair (Secretary, MoMD&E), and well supported by the NP Director and representatives of the UN agencies. Decisions of the PEB and SC have been appropriately recorded, and follow-up actions put into effect by the PMU. The PMU has also been effective in making timely day-to-day decisions. Again, this has been facilitated by the NP Director who has provided timely advice, as have UN advisors.

5.2.3 Realism of annual work-plans

Work plans during the first two years of operation were ambitious, and activity/output delivery was only about 50%. However, improvements to work planning and implementation, combined with a full-time CTA and timely decisions on budget re-allocation and approval of the work plan by the PEB/SC, has raised the delivery level to over 85% during the last two years. It can also be noted that 75% of the recommendations of the internal review of February 2015 were implemented.

5.2.4 Efficiency and effectiveness of monitoring and evaluation (M&E)

The Programme's results framework carries indicators and targets, and these have been used as the basis for M&E. The Programme instituted a monthly review protocol involving PMU, FAO, UNDP and the FD to assess progress against targets. This has worked well and helped maintain momentum of the NP. It was noted that the results framework has used the available baselines, as applicable, to assess progress. Annual reports have been produced incorporating the results framework. There is evidence that the regular M&E assessments have been used to review the work plan, identify additional work as needed, and adjust budgets according to changes in the work plan.

5.3 Technical backstopping, normative tools and coordination of the three UN agencies

The Regional Technical Team (RTT¹) has provided technical backstopping to national staff, acknowledged by the PMU as being of good quality and timely. On day-to-day routine operational matters, they have usually communicated with the NPM and CTA. The RTT is comprised of experts from the three UN agency regional offices in Bangkok and FAO HQ in Rome. Support from the RTT has included technical assistance and guidance, training, quality control, bringing international perspectives (e.g., the UNFCCC perspective), drawing up TORs for international consultants, assisting with TORs for national consultants, and providing recruitment and pricing advice.

As regards the normative UN-REDD Programme/UN agency tools, PMU members noted that most worked well when they were used in a discretionary way and adapted to the local context. This was sometimes slightly at odds with the perception that occasionally the Sri Lanka NP was seen by regional advisors as a convenient testing ground for new UN tools. More specifically:

- The FAO *Open Foris* toolkit was used extensively in the MRV component, especially the *Collect Earth* and *Calc* sub-components;
- The stakeholder engagement tool was rated as very useful by the PMU;
- The Benefits and Risks Tool (BeRT) was partially useful for the safeguards analysis (it was estimated that about 30% of the tool was usefully applied);
- The Free Prior and Informed Consent (FPIC) Guidelines required considerable adaptation to the national context.

Finally, there is the question of the three UN agencies 'delivering as one'. Inter-relationships between the UN agencies, and also with PMU, have generally been good, reflecting the apparently good relationships between regional advisors, albeit with occasional differences of opinion between PMU and UNDP. A regular and close dialogue between second-level staff of UNDP and FAO national offices (involved in project implementation support and M&E) could have helped resolve some generally minor issues.

An example of good collaboration between the UN agencies has been in the recent and on-going development of the Green Climate Fund (GCF) proposal for REDD+ implementation in Sri Lanka involving *inter alia* the CTA, the current FAO Regional Advisor, and an ex-UNDP regional advisor. Finally there is the issue of multiple financial systems, procurement policies, etc. This inevitably resulted in higher administrative and management transaction costs compared to working with a single funding agency, but seemed to be manageable.

¹The term RTT in this document refers to the Regional Technical Team in Bangkok as well as FAO staff in Rome.

5.4 Government participation

The government has, in general, shown strong commitment to the NP, as evidenced in its decision to provide USD 20 million over the next five years to co-finance the NRIFAP. It was also shown in the very strong leadership provided by the NP Director. However there are some areas requiring improvement:

- Coordination between FD, DWC¹ and CCS, and associated issues of data sharing in spite of an agreement to share data in the context of the NP (this expires at the end of the NP) and recent information sharing legislation;
- Commitment of *all* levels of staff (e.g., middle level managers) in the key agencies.

6 Conclusions and Recommendations

6.1 Conclusions

The Sri Lanka UN-REDD National Programme has been relatively successful in achieving its outcomes and objective of REDD+ readiness, especially technical and strategy readiness. The outputs and outcomes of the NP can be rated as satisfactorily (and in some cases more than satisfactorily) achieved, with the main output, the NRIFAP developed and officially handed-over to the government. The performance rating of the NP is presented in Table 8.

Table 8. Performance rating of the National Programme

<i>Category</i>	<i>Criteria</i>	<i>Rating scale</i>	<i>Rating</i>	<i>Comments</i>
Agency Coordination and Implementation	Overall quality of project implementation	1-6	5	
	Agency coordination	1-6	5	
	Project supervision	1-6	5	
Outcomes	Overall quality of project outcomes	1-6	5	
	Relevance	1-2	2	
	Effectiveness	1-6	5	
	Efficiency	1-6	5	
Sustainability	Overall likelihood of risks to sustainability	1-4	3	NRIFAP cabinet approval awaited
	Financial resources	1-4	3	Significant government and external funding already assured
	Socio-economic	1-4	3	

¹ The modest involvement of DWC was partly due to the rapid turnover of Director Generals (four during the NP's lifetime) as well as its different priorities, notably wildlife habit, e.g., elephants prefer scrub and grassland which is found more in degraded as opposed to managed forest land.

	Institutional framework and governance	1-4	3	Cabinet approval is expected to formalise institutional framework
	Environmental	1-4	4	
Impact	Environmental status improvement	1-3	N/A	Implementation stage
	Environmental stress reduction	1-3	N/A	Implementation stage
	Progress towards stress/status change	1-3	N/A	Implementation stage
Overall Programme Results		1-6	5	

Rating scales:

Ratings for Outcomes, Effectiveness, Efficiency, project implementation:	Sustainability ratings:	Relevance ratings
6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems	4: Likely (L): negligible risks to sustainability 3: Moderately Likely (ML): moderate risks 2: Moderately Unlikely (MU): significant risks 1: Unlikely (U): severe risks	2. Relevant (R) 1. Not relevant (NR) Impact Ratings: 3. Significant (S) 2. Minimal (M) 1. Negligible (N)

As regards achievement of each individual outcome it is concluded that for:

- **Outcome #1**, the achievements are generally **moderately effective** with establishment of the coordination mechanism (PEB/SC/RACB) as the main consideration;
- **Outcome # 2**, the achievements are **effective** with a PMU that has been well received by other agencies and stakeholders, and has been effective in harnessing the expertise of external agencies;
- **Outcome #3**, the achievements are **effective** with establishment of the four stakeholder fora, seen as models for other programmes, and the high quality communications' products;
- **Outcome # 4**, the achievements are **effective** due to the importance and quality of the NRIFAP, while noting there were a mixture of more and less satisfactory technical inputs that contributed to this;
- **Outcome #5**, this outcome is rated **effective** and the MRV component has surpassed expectations.

While the theory of change analysis conducted in the Theory of Change Workshop identified several design gaps and other challenges, it was concluded that the design of the NP was adequate for achievement of the NP outcomes and objective.

As regards the state of REDD+ readiness, it can be concluded that technical and strategy readiness (in the form of identification of the PAMs and development of the NRIFAP) are well advanced, but institutional readiness is less advanced. This is partly due to outstanding concerns around inter-

institutional collaboration, as exemplified by the rather weak participation of the CCS and DWC. There was still a perception among some stakeholders that REDD+ is mainly an FD-led project; this is in spite of the PMU establishing a strong programme identity, and a strong communications strategy that has emphasised the inter-sectoral nature of REDD+. Another concern was the capacity of mid-level staff, for example, in the FD. Institutional readiness should however be given a positive boost assuming a cabinet paper to institutionalise the RACB is approved.

Much of the success of the NP can be attributed to a combination of the cohesive, motivated and technically competent PMU, including from 2015 a full-time resident Chief Technical Advisor (CTA), the committed and enthusiastic National Project Director (Conservator General of Forests), and good quality technical backstopping and support from the UN agencies in Bangkok and Rome. After a slow start, implementation picked up following a set of recommendations from a timely 'Internal Review' which were effectively actioned by the PMU, and arrival of the CTA.

A major achievement of the NP has been to secure a significant proportion of the funding required for the first five years of the implementation phase, including government financial support (USD 20 million over five years). If a proposal to the Green Climate Fund is approved, the total cost of the first five years of REDD+ implementation would be covered. This successful exit strategy can be partly attributed to 'projectisation' of the PAMs in Annex 2 of the NRIFAP, which has allowed donors to 'pick and choose' PAMs according to their funding criteria. Furthermore, the strategy of weaving REDD+ into existing planned activities of government departments and the national budgetary process has proved effective.

Other successful strategies and activities of the NP include:

- Following a slow start, the communications strategy resulted in some high quality products, culminating in the very well presented NRIFAP document ;
- The formation of Task Forces and supporting Technical Working Groups (TWGs) facilitated much of the work leading up to the NRIFAP, with the Communications TF and MRV TF proving to be the main successful examples;
- The ARF provided a valuable technical critique of some of the studies and led organisation of the International Research Symposium on Valuation of Forest Ecosystems and their Services;
- There has been some enthusiastic participation by the private sector forum;
- The on-line NFMS 'geoportal', which can be used by any project needing to monitor land use change;
- South-South cooperation with the Forest Survey of India (FSI), which provided the capacity building needed for the NFI. Since FSI staff were provided *gratis*, the NP has been able to pilot the NFI using the savings;
- The *Grow a Fighter* initiative has been effective in promoting private sector involvement in the afforestation of unproductive tea lands.

The Theory of Change Workshop identified some design gaps and concerns. One of the main concerns was the lack of a mechanism to continue key readiness components (e.g., the RACB and the stakeholder fora, especially the rather fragile Civil Society Network) and to maintain the momentum generated by the NP during the expected gap between the end of the NP and operationalisation of the implementation stage.

Although civil society engagement has been a very positive development, the uneven capacity of the members of SLCFAN and divisions among members of the Convening Committee point to the conclusion that further capacity building, particularly in leadership and administrative capacity, is urgently needed. The CBR+ programme, administered by the UNDP-GEF office, designed to support the engagement and participation of communities and indigenous peoples in national REDD+ processes, was a missed opportunity for strengthening civil society engagement and informing development of the NRIFAP.

The technical inputs have sometimes suffered from poor quality reports from consultants, and delays in some components (e.g. the capacity building needs assessment and the safeguards analysis). A rather qualitative deforestation and forest degradation drivers' study and the absence of a study of the constraints to forest carbon enhancement activities resulted in a weak diagnostic basis for identifying and prioritising the PAMs. This may have been a factor in the decision to use Multiple Criteria Analysis (MCA); it is also recognised that the REDD+ context of Sri Lanka is different to many other countries in that the potential to reduce forest-related carbon emissions is relatively low, and the multiple benefits of REDD+ therefore assume more importance. Use of the MCA had mixed support from the PMU and proved complex for some stakeholders, but is widely regarded as having been a credible process that achieved the desired result.

Some other components or aspects of the NP that were less positive include:

- Most informants felt that the attention given to gender issues in the NP was insufficient, for example, in sufficiently addressing weak understanding of gender issues in key government departments, and by not drawing on existing good practice in Sri Lanka in the form of (semi-processed) case study material, so that gender is insufficiently mainstreamed in the NRIFAP.
- There was a consensus view that the Cancun Safeguards were not sufficiently 'contextualised' as regards the time and attention given to the IPs, in view of the low dependence of the *Veddha* community on forests and their unclear role in the NRIFAP;
- The inability of the PMU to obtain detailed expenditure statements and the concomitant perceived high cost associated with SSFA between UN Environment and IUCN (and in which the PMU was not a party) for implementing the otherwise successful communications strategy;
- While the technical MRV-related work has been generally successful, there was still an apparent dependency on PMU to take the lead in writing official communications to the UNFCCC;
- Failure of the contractor to update the otherwise impressive tri-lingual website has resulted in the TACTA taking time out from other urgent tasks to learn how to make urgent updates.

As regards the UN agencies, the good quality technical backstopping and support from Bangkok and Rome, evidently helped by collegiate personal relationships between advisors of the different agencies, was a key factor in the strong leadership and management of the NP by the PMU. On occasions there were differences of opinion as regards the use of some of the normative UN tools, such as the UN-REDD Free Prior and Informed Consent (FPIC) Guidelines, which were later adapted and embedded into the stakeholder engagement tool. PMU felt there was sometimes a certain pressure from the regional office to test a tool out in Sri Lanka, whereas what was needed was to modify and adapt it to national circumstances. The most successful and useful tools have been the

stakeholder engagement tool, the *Open Foris* software used for MRV-related activities, and the Benefits and Risks Tool (BeRT) which was partially used and adapted for the safeguards analysis.

6.2 Recommendations

The recommendations of this evaluation address strategic, thematic and operational aspects, and are mainly oriented towards the implementation phase of REDD+.

Strategy

RACB: The current composition of 41 members in the RACB appears excessive for in-depth discussion on programme direction and guidance for national REDD+ activities. It is recommended that a two-tier system be adopted; a smaller RACB with key agencies for policy direction and guidance, and a larger subsidiary group of stakeholder representatives, primarily for intra-institutional diffusion of information and for coordination at the field level.

(cf. Section 3.1.6
Attn: MoMD&E)

Bridging Finance: Bridging finance between the end of the NP and operationalisation of the implementation stage is urgently needed to avoid loss of momentum and human resources, continuity of the RACB, and continuity of the stakeholder fora/networks. It is recommended that the MoMD&E makes an appropriation and hosting arrangements for continuing these key activities during the interim period.

(cf. Section 3.1.3, Table 2
Attn: MoMD&E)

Inter-institutional collaboration: Inter-institutional collaboration is essential for effective REDD+ implementation: it is necessary to introduce stronger measures for inter-institutional collaboration, for example, (e.g., formalised regular dialogues, awareness enhancement, protocols for data sharing, and common data management platforms, that are also needed for global reporting).

(cf. Section 3.1.3, Table 2
Attn: Lead - MoMD&E
& Right to Information Commission)

Retention of Specialist Staff: Given the technical nature of REDD+ obligations, government staff who receive specialised training should remain in their current posts or agencies at least until the experience and knowledge are institutionalised, and second tier staff are adequately trained. Routine transfers of such officers should be avoided unless there are extenuating circumstances.

(cf. Section 4.4
Attn: MoMD&E)

Thematic areas

Monitoring, Evaluation & Learning: Given the scope of NRIFAP and its importance to the country, the NRIFAP implementation phase requires a more rigorous and science-based monitoring, evaluation and learning protocol.

Attn: MoMD&E)

CBR+: Given that the GEF Small Grants CBR+ programme did not inform the NRIFAP, and the concerns expressed by the Forest Department and PMU, it is recommended that an independent review is undertaken of the performance of CBR+ programme with a specific focus on its intended objectives.

(cf. Section 4.1 & Annex 10)
Attn: UNDP-GEF Small Grants Programme)

Operational aspects

Capacity building: All capacity building activities should include a post-training evaluation to ensure relevance, content, delivery, supporting materials, etc.

Managers in the recipient agencies need to recognise the importance of training imparted to its staff, and an institutional system should be set in place to recognise such trainings so that national programmes receive the benefits. The agencies must also create avenues for further diffusion of capacities within the agencies.

Notwithstanding the provisions made in the NRIFAP, SLCFAN requires continuing leadership building programmes to ensure that there is a second tier of leaders with the requisite governance, technical, organisational and administrative capacity.

(cf. Section 4.3.1)
Attn: MoMD&E/RACB)

Procurement of Consultancy Services: Prospective consultants' CVs should be vetted by the UN agencies to ensure that they conform to the minimum requirements, before sending them for further processing by the PMU.

If there are significant differences of opinion between the national programme (e.g. PMU) and regional advisors as regards the choice of an international consultant, the consultant should not be appointed.

When institutional consultancies are procured, PMU should have the full control of the consultancy and there should be full transparency on the costs.

(cf. Section 4.1)
Attn: MoMD&E, RACB & UN Agencies

7 Lessons Learned

This section captures lessons, good practices, and issues that have surfaced during the evaluation, and that can help inform the REDD+ implementation phase in Sri Lanka and/or REDD+ readiness programmes in other countries.

Management and leadership

One of the main factors behind the success of the NP was the strong, competent and well-regarded PMU with very good external relationships, and the strong support provided by the Government via the National Project Director (Conservator General of Forest) and its ability work closely with the focal Ministry (MoMD&E). This is a good model for replication. A key lesson was that there should have been a full-time resident CTA from the beginning of the NP. After the CTA came on board it became increasingly evident that some studies or work hired out to consultants could have been more effectively and efficiently undertaken by the PMU. A technically strong PMU could somewhat reduce the dependence on consultants.

Institutional anchoring of REDD+ and cross-government ownership

The Sri Lankan experience reveals a widely-held perception among stakeholders that REDD+ is a 'responsibility' of the Forest Department. There have been difficulties in establishing strong inter-institutional coordination, particularly amongst the three key agencies, FD, the CCS and DWC (also involving inter-Ministerial collaboration). Difficulties of collaboration and even information sharing surfaced several times during the NP, and concerns were raised by many on the appropriateness of anchoring the REDD+ programme in the Ministry that houses FD. A more 'neutral', non-sectoral Ministry and with over-arching responsibilities and authority on national planning and development was suggested as an alternate 'home'.

Stakeholder engagement

The engagement of key stakeholders through the establishment of four stakeholder fora was seen as a very positive step by the stakeholders, facilitating their active engagement in most facets of the project. These fora provided opportunities to PMU and stakeholders to share each other's experiences and concerns, which has helped the relatively smooth implementation. As regards sustainability, a progressive step was registration of the Civil Society Platform as a private non-profit company (SLCFAN); this provides a sound basis for SLCFAN to continue its advocacy role in the REDD+ and other environmental arenas.

Engagement with civil society revealed some difficulties in leadership of the CSO platform (SLCFAN), specifically the problem that only one or two CSOs had the capacity to take on responsibilities combined with a reluctance of other members to take on such responsibilities. This has resulted in the current Chairperson having to continue in that position in contravention of the SLCFAN constitution. The lesson is that when engaging civil society, a capacity building needs assessment is needed so that leadership, management and administrative capacity is spread across several CSOs.

Identification and prioritisation of the PAMs

The use of Multiple Criteria Analysis (MCA) for prioritising the PAMs has opened up something of a debate about suitable methodologies in programmes of this nature. In spite of some challenges and differences of opinion (especially in PMU) on the use of MCA, there was a sense of achievement in prioritisation of the PAMs. It can be observed that one reason for using MCA was the weak diagnostic basis for prioritising the PAMs due a rather qualitative drivers study and the absence of a study on the constraints to forest carbon enhancement activities. A second reason for using a method like the MCA, rather than a diagnostic or problem-based approach, is the relatively low potential of emission reduction benefits, which means that multiple benefits and the safeguards assume a relatively greater importance.

A related lesson, also apparent in other national REDD+ programmes, is that the deforestation and forest degradation drivers' study, which normally provides the diagnostic foundation of the national strategy, is demanding and complex. As noted by a regional advisor, drivers' analysis is difficult since there is a need to combine political economy analysis with spatial analysis and other tools, and in many countries requires the combination of international and national expertise.

Capacity development and South-South cooperation

The project undertook a capacity assessment and gap identification near the end of the NP, and oriented mainly to the implementation phase. The PMU also conducted a substantial portfolio of capacity development events before a systematic assessment of the needs. The lesson is that two separate but related capacity building needs assessments are needed, one at the beginning to address the needs of the readiness phase, and the second towards the end of the readiness phase, as in this instance, to address the needs of the implementation phase.

Cooperation with the Forest Survey of India (FSI) in the NFI work enabled capacity development through the vast resources of the India Forest Service; furthermore, as a gesture of goodwill, FSI provided their staff without cost, thereby enabling the NP to save money and extend the scope of work to pilot the NFI. While this was an excellent example of South-South cooperation, such opportunities might have been more systematically identified at the design stage.

Procedural Aspects

Some lessons that can be drawn from procedural experiences associated with the NP include:

- Ensuring ready consultation and consensus building with PMU and national agencies in implementation arrangements, including procurement of consultancy services;
- Reducing the procedural workload of the PMU;
- Providing management responsibility to PMU over all contracts;
- Regular dialogue of UN staff at the implementation level to share concerns and good practices.

Annexes

Annex 1. Terms of Reference (extracts)

Annex 2. Short biography of Evaluation Team

Annex 3. Evaluation Tools

Annex 4. List of Interviewed Stakeholders

Annex 5. Results Framework (modified) with targets and indicators

Annex 6. List of Participants at Theory of Change Workshop

Annex 7. Attendance by participating institutions at meetings of the Programme Executive Board and UN-REDD Steering Committee

Annex 8. Composition of Technical Working Groups and Task Forces

Annex 9. Planned and implemented activities

Annex 10. Comments on the GEF Small Grants CBR+ Programme

Annex 11. List of trainings, events, communication products, etc. (compiled by PMU)

Annex 1. Terms of Reference (extracts)

Evaluation Objective and Scope

The scope of the evaluation is the Sri Lanka UN-REDD National Programme. The evaluation will be based on data available at the time of evaluation and discuss outputs delivered by the programme from the time of inception, February 2013, until the time of closure on 30 June 2017. It will also assess the likelihood of future outcomes and impact that may not have been achieved yet by 30 June 2017.

The evaluation of the Sri Lanka UN-REDD National Programme is undertaken to assess (i) programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and scaling up of results, and (iii) actual and potential impact stemming from the programme. The evaluation has the following objectives:

- To provide evidence of results to meet accountability requirements.
- To assess the status of REDD+ readiness in Sri Lanka, gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD Programme's future role in the REDD+ process in the country.
- To propose recommendations on how existing and potential financing and investment opportunities can be leveraged and better coordinated for the implementation of the NRIFAP.
- To review the proposed institutional arrangements for REDD+ in the NRIFAP and make recommendations on how they could be improved or adjusted for more efficient implementation of the NRIFAP.
- To promote learning, feedback and knowledge sharing through results and lessons learned among the participating partners and stakeholders including the Government and UN Organizations and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in the country, especially future UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.

The primary audience for the evaluation will be the Government of Sri Lanka, the three participating UN Organizations of the UN-REDD Programme and the programme resource partners. The secondary audience for the evaluation will be the national REDD+ stakeholders. The evaluation will also be made available to the public through the UN-REDD Programme website (www.un-redd.org) and the website for REDD+ in Sri Lanka (www.redd.lk).

Evaluation Criteria

To focus the evaluation objectives, by defining the standards against which the initiative will be assessed, the following five evaluation criteria will be applied:

(i) Relevance, concerns the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is aligned with the UN-REDD

Programme Strategy 2011-2015³ and the corporate plans of the three participating UN Organizations. Relevance vis-a-vis other REDD+ or REDD+-related programmes implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.

(ii) Effectiveness, measures the extent to which the National Programme's intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved. To explain why certain outputs and outcomes have been achieved better or more than others, the evaluation will review:

- a) Processes that affected the attainment of project results;
- b) Implementation approach.

(iii) Efficiency, measures how economically the resources or inputs for the Programme (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.

(iv) Sustainability, analyse the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.

(v) Impact, measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and to impact on people's lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the programmes intervention strategy (theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

(vi) Factors affecting performance.

The evaluation will assess factors and processes that affected project results with particular attention to preparation and readiness of the project, country ownership, and stakeholder involvement, effectiveness of national and local implementing agencies, financial planning and management and coordination mechanisms.

Management and implementation of the National Programme, including:

- Quality of operational management: Planning, coordination and delegation of work; effective communication within the PMU and between PMU and partners;
- Impact of mid-term review;
- Performance of coordination and steering bodies (RACB/SC);
- Extent, timeliness and quality of administrative and technical support by the three participating UN Organizations at all levels (headquarters, regional and country offices);
- Timeliness, quality and quantity of inputs and support by the Government and other in-country partners.
- Personnel turn-over rates and the balance between continuity and new staff in the NP and with partner agencies including government;
- Factors influencing the motivation, morale and job satisfaction of staff.

Utility of the UN-REDD Programme's normative products, guidelines and safeguards, e.g. the UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC), and the UN-REDD / FCPF Guidelines on Stakeholder Engagement in REDD+ Readiness, and the extent to which they have contributed towards Programme performance.

Financial resources management of the National Programme, including:

- Adequacy of budget allocations to achieve outputs;
- Coherence and soundness of budget revisions in matching implementation needs and programme objectives;
- Rate of delivery and budget balance at the time of the evaluation.
- Efficiency of fund-management arrangements.

Assessment of coordination mechanisms:

- Between the three participating UN organizations to ensure joint delivery.
- Between the Government and the three participating UN organizations to ensure programme outcomes are achieved.
- Within and between Government ministries in order to ensure programme outcomes are achieved.

In addition, the evaluation will:

Assess gender mainstreaming in the National Programme. This will cover:

- Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation;
- Analysis of how gender relations and equality are likely to be affected by the initiative;
- Extent to which gender issues were taken into account in Programme management.

Assess the prospects for follow-up and scaling-up of REDD+ in Sri Lanka, providing suggestions for potential UN-REDD engagement (if pertinent).

Annex 2. Short biography of Evaluation Team

Michael Richards, PhD; MSc; BA

Michael Richards is a natural resources economist with almost 40 years' research and development experience in Africa, Latin America and Asia. He holds a BA in Land Economy from Cambridge University, an MSc in Agricultural Economics from the University of London, and PhD from the University of Glamorgan ("Economic Incentives for Sustainable Management and Conservation of Tropical Forests"). He is based near Oxford in the UK.

The first 13 years of his career were spent working on long-term assignments as an agricultural economist in Malawi, Sri Lanka, Mexico and Honduras, primarily for the UK Overseas Development Administration as well as for FAO on a range of agricultural, rural and community development programmes. Since 1990 he has worked mainly on forestry and environmental issues, especially as a Research Fellow for the Overseas Development Institute (1993-2001) and as an associate of Forest Trends since 2007, as well as an independent consultant working for a range of international NGOs and development agencies, including a year in Ghana working for the International Institute for Environment and Development on an ITTO study of incentives for sustainable forest management. Much of his work for ODI was on issues around payments for ecosystem services (PES), forest governance, the economic analysis of participatory forest management, forest trade, tenure issues in Latin America, and a range of other policy and institutional issues. His work for Forest Trends and other agencies or donors since 2007 has continued the above themes, as well as support to the development of community level PES projects, development of an impact assessment methodology for multiple-benefit carbon projects, and leading an applied research study of the livelihood impacts of proposed forest law enforcement and governance programs. Since 2014 he has undertaken several assignments for FAO in Vietnam and Nepal, where he has been mainly involved in developing, piloting and supporting (including through training) sub-national REDD+ planning under the UN-REDD Programmes in those countries.

Ranjith Mahindapala, PhD; F I Biol (SL); FNAS (SL)

Ranjith Mahindapala has a working career of nearly 45 years of which 22 years were spent at the **Coconut Research Institute of Sri Lanka** (CRI) and 18 years in an International Organisation, the **International Union for Conservation of Nature & Natural Resources** (IUCN) at its Sri Lanka Office and its Asia Regional Office in Bangkok. He has nearly 30 years hands-on experience in design, development, and implementation of projects and programmes in agriculture and in natural resources management, and leading Monitoring and Evaluation missions for projects and programmes, capacity assessment, and on Results-based Reporting.

He was the Director of CRI from 1987 up to 1993 during which time he led the development of the first 5-year strategic plan for the Coconut Research Institute of Sri Lanka (1988). He was then appointed as the second Executive Director of the **Sri Lanka Council for Agricultural Research Policy** (SLCARP). During his tenure at SLCARP, he provided leadership for the formulation of the National Agricultural Research Prioritisation (NARP), coordinated agricultural research system including

forestry and fisheries, and provided leadership to an agricultural research grant system involving all crop research institutes in Sri Lanka.

He joined IUCN in 1996 as the first Biodiversity Officer in Sri Lanka Office to work on the then newly-introduced Biodiversity Action Plan for Sri Lanka. He then held the position of Director Programme of Sri Lanka Country Office before being posted to IUCN's Asia Regional Office in Bangkok for regional programme coordination, with a stint in Hanoi, Viet Nam as Head of Office there. He was appointed IUCN's Country Representative in Sri Lanka in 2008, and in 2011 took up the position of Programme Manager of a large, post-tsunami regional initiative of IUCN, ***Mangroves for the Future***.

He has been trained on programme planning, monitoring and evaluation in Switzerland, Germany, India, the Philippines and Sri Lanka. In the recent times, he has been closely involved in capacity development for planning, and monitoring and evaluation. Since 2011, he has been the lead trainer in Project Cycle Management in the Asia region for Mangroves for the Future Programme, and has conducted 36 training programmes in 11 countries during the period 2011- July 2014.

He retired from IUCN in August 2014; he now works (part-time) as the Executive Director of the ***Community of Evaluators - South Asia*** (Delhi) and as an Independent Evaluator.

Annex 3. Evaluation Tools

1. Evaluation of the NP against the 5 OECD evaluation criteria

1.1 *Relevance*

The relevance of the NP, especially as regards the process, outcomes and goal, was assessed mainly by checking relevant documents and questioning key stakeholders, including the PMU, the RACB and SLCFAN through the key questions set out below.

Evaluation of relevance of NP process, outcomes and goal: questions and methods

<i>Key questions</i>	<i>Methods/sources of information</i>
Relevance of NP to national development priorities	Check national development plans
Relevance to people's needs, including for women and the poor	Assess the extent to which the NP will help meet the needs of the poor and women
Relevance to UN Country Programme	Check UN Country Programme
Relevance to donor assistance framework to SL	Check donor assistance framework to SL
Relevance to UN-REDD Programme Strategy 2011-2015	Check with UN-REDD Programme Strategy
Logic and realism of theory of change/results framework of NP	Participatory analysis of NP theory of change (see below)
Quality and realism of NP: Was its duration appropriate? Were stakeholders adequately identified? Were institutional set-up & management arrangements appropriate?	Questions to PMU, RACB, SLCFAN
Is there duplication and/or coordination with other REDD+ programmes or projects?	Questions to PMU, RACB Check Hiniduma Biodiversity Corridor Project and REDD+ National Joint Programme (NJP)

1.2 *Effectiveness*

The effectiveness of the NP was assessed on multiple levels as follows:

- (a) According to the targets and indicators set out in the Results Framework of the National Programme Document, and by checking the means of verification. Since there was a long list of targets, indicators, etc., the evaluation team assessed the hierarchy of outputs/targets, and spend more time assessing achievement of the higher priority targets in relation to the NP outcomes and goals.
- (b) The effectiveness of the theory of change (TOC) assessed through a participatory TOC analysis based on the Review of Outcomes to Impacts (ROtI) method (see below). The TOC analysis included an assessment of the state of REDD Readiness due to the NP.
- (c) The quality, timeliness and usefulness of the commissioned reports were assessed by the evaluation team according to their perception of the quality of the reports, and by asking the primary users of the reports (mainly the PMU and RACB) how useful they have been.

- (d) Institutional effectiveness in the management and implementation of the NP was assessed primarily through discussions with PMU, RACB and the three main government implementation partners. Particular attention was given to:
- Institutional performance as regards the quality of operational management, planning, delegation, communications within the PMU, and between PMU and stakeholders;
 - Performance of the coordination and steering bodies (RACB/SC)
 - Performance of other national and local implementing agencies
 - Budgetary and financial management, including fund management arrangements
 - Coordination mechanisms between the three UN agencies, between government departments, and with any other donors involved in the NP
- (e) The quality, timeliness and usefulness of inputs provided by the three United Nations Organisations (UNOs), including their success in “Delivering as One”, based mainly on the views of the PMU, RACB and the implementation partners.
- (f) The quality and usefulness of normative tools and inputs of the three UNOs (e.g., Guidelines on Stakeholder Engagement in REDD+ Readiness, BeRT worksheets, FPIC Guidelines) used by the NP, based mainly on the views of national users of the tools.

The evaluators were careful to ask why activities, reports, outputs, outcomes, etc., were more or less successful. This involved analysis of process issues influencing effectiveness (recognising the overlaps with the above sections as well as evaluation of the Sustainability’ criterion) including:

- Institutional effectiveness and coordination;
- Budgetary allocation: was it sufficient for effective results/outputs?
- Financial and administrative management;
- Governance quality;
- Procurement processes, e.g., consultants;
- Levels of stakeholder participation and ownership in design, decision-making or implementation;
- Adaptive management capacity of the NP associated with internal monitoring and communications’ systems (partly assessed from the management response to the recommendations of the Mid-Term Review);
- Key personnel changes, e.g., in the PMU
- Other obstacles, bottlenecks or external risk-type factors that constrained effectiveness (some of this analysis will come out of the TOC analysis).

As well as analysis of all available reports and documents and semi-structured interviews with key informants and stakeholder representatives, the evaluation team drew on email, skype or phone communications with key UNO stakeholders (based mainly in Bangkok).

1.3 Efficiency

The efficiency of implementation of the NP was assessed through analysis of:

- The methods, human resources and costs of the NP reports and other actions or outputs;
- Timeliness of activities and outputs;

- Administrative costs, including the costs of supervision and coordination between the UNOs, in comparison with operational costs;
- Any time and cost-saving measures adopted by the NP;
- Delays or cost overruns, and the appropriateness of remedial measures taken.

Efficiency of implementation was again assessed mainly through a combination of: analysis of reports, meeting minutes, etc.; semi-structured interviews with key stakeholders/informants; email/skype discussions with external UNO advisors.

1.4 Sustainability

The sustainability of the NP is interpreted mainly as an issue of the state or level of institutional, technical, financial, political and social capacity that has been achieved at the end of the NP and that provides a solid basis for the implementation stage. The TOC analysis provided a good basis for making these judgements, and for making recommendations where it is considered that this level of capacity has not yet been achieved. Recognising the overlap with the other evaluation parameters, especially 'Effectiveness' and 'Impact', the evaluation team particularly reported on the level or quality of:

- Institutional capacity, including cross-sectoral coordination, and the coordination between government, NGO and private sector stakeholders;
- Technical capacity, e.g., as regards capacity to implement MRV and the NFMS;
- Financial management and fund-raising capacity, e.g., capacity to make successful proposals to donors for financing PAMs;
- Governance capacity, including levels of transparency and accountability;
- Social sustainability associated with levels of stakeholder participation and ownership;
- Understanding and awareness levels of REDD+ associated with the success of the communications strategies;
- Political support for the proposed NRIFAP (associated with effective sectoral collaboration);
- Involvement and commitment of the agriculture and plantation sectors to effective implementation of the NRIFAP;
- The exit strategy.

The main methods were semi-structured interviews with key informants or stakeholders, as well as email/skype conversations with external UNO advisors.

1.5 Impact

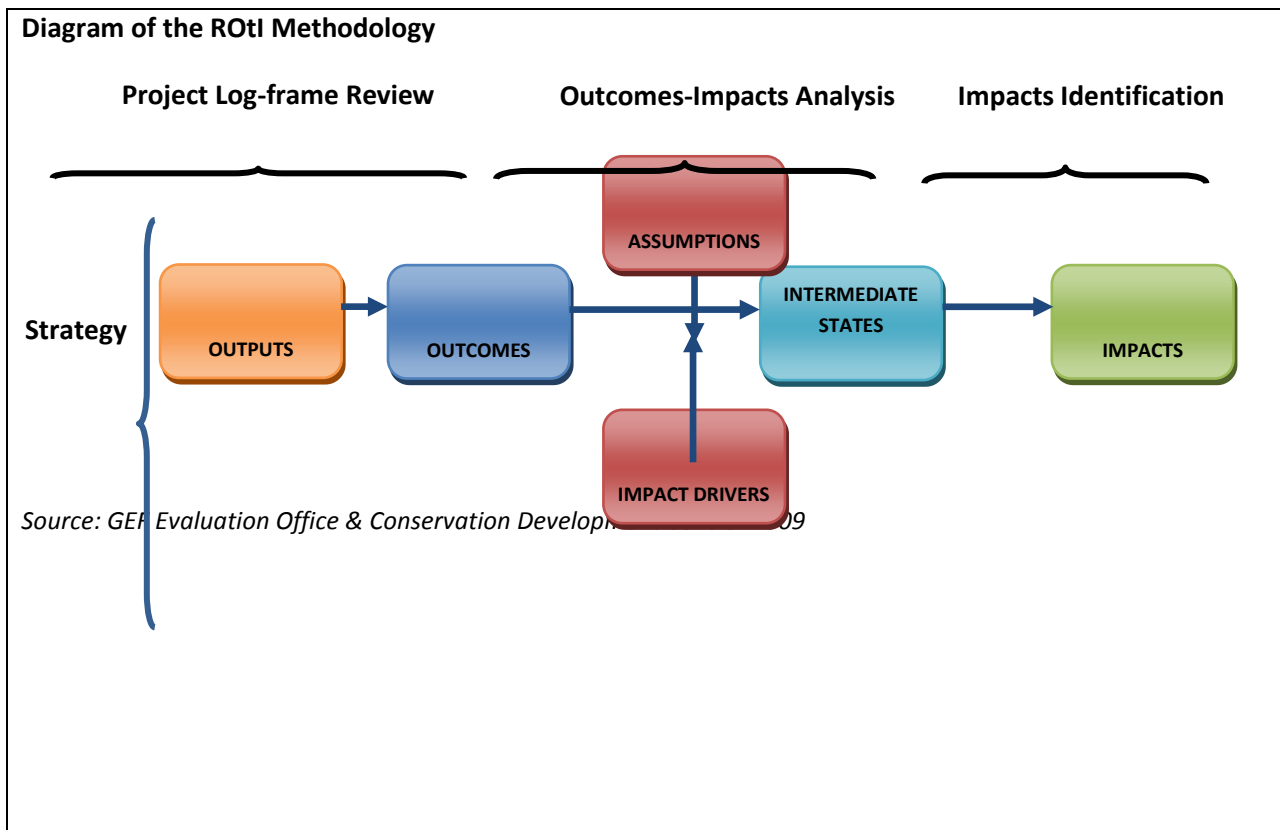
Due to the nature and aims of the NP, long-term impacts are not expected. These will only come about as a result of the REDD+ implementation stage.

2. Theory of change analysis of the NP

Theory of change (TOC) analysis of the NP was conducted in a one day workshop with 17 stakeholders and key informants, including several members of the PMU, implementing and other government agencies, and civil society representatives. The TOC analysis provided answers as to why

some outputs and outcomes of the NP have been more fully achieved than others. It provided a strong basis for reviewing the design quality, and being able to judge the of the NP in achieving the level of readiness necessary for effective implementation; for recommendations to achieve readiness; and recommendations for future REDD+ readiness programmes.

The TOC analysis was based partly on the Review of Outcomes to Impacts (ROtI) methodology. The essence of the ROtI method is to examine carefully the relationships and causal linkages between project strategies, outputs, outcomes and impacts, as shown in the Figure below, with a particular emphasis on the linkages between outcomes and impacts.



Key concepts and steps in the ROtI approach are to identify ‘intermediate states’, ‘impact drivers’ and ‘assumptions’:

- An intermediate state is an achievement or result that increases the likelihood of an effective outcome or impact. Intermediate states are normally gaps in theory of change logic that imply the need for additional activities and outputs.
- An impact driver is a factor that is within the power of the project to influence, and which if it is present would help achieve the outcomes and impacts. These impact drivers typically address barriers or constraints to achievement such as political, financial, socio-economic or institutional barriers, e.g., poor coordination between departments or ministries.
- External assumptions are similar to impact drivers but are outside the control of the project, e.g., socio-political stability in the hotspot areas.

Normally the focus of ROtI is on the linkages between outcomes and impacts. But in view of the short-term nature of the NP, and the direct short-term connection between the NP outcomes and

goal of REDD+ Readiness, the TOC analysis focused on the causal relationships between activities/outputs and outcomes.

Annex 4. List of Interviewed Stakeholders

1. Attygalle, Prasad R, Mr (ex-Technical Advisor, PMU)
2. Bambiniwatta, Shanthakumara, Mr (Forest Officer, PMU)
3. Brandstrup, Nina, Ms (FAO Representative)
4. Corblin, Alexis, Mr (Chief Technical Advisor, PMU)
5. De Silva, Sonali, Ms (Member, Convening Committee, SLCFAN)
6. Dulani, S Ms (Climate Change Secretariat)
7. Fernando, K B Sachith S, Mr (Assistant Director, Dept. of National Planning)
8. Godamanne, Tilak, Mr (National Chamber of Commerce)
9. Gunathilake, I A U N, Prof. (Chair, Academic & Research Forum)
10. Hidellage, Vishaka, Dr (Assistant Country Director, UNDP)
11. Faleel, Mubarak Mr (Director, Dept. of National Planning)
12. Jayatilleke, Wasantha, Mr [Conservator of Forests (Planning and Monitoring)]
13. Jayatunga, Sunimal, Dr (Director, Climate Change Secretariat)
14. Kekulandara, N S B, Mr [Assistant Conservator of Forests (Forest Inventory & GIS)]
15. Kulatunga, Sarath, Mr (Additional Conservator General of Forests)
16. Kumar, Raushan, Dr (Forest Officer, PMU)
17. Mallawatantri, Ananda, Dr (Country Representative, IUCN Sri Lanka)
18. Munasinghe, Nalin Mr (National Programme Manager, PMU)
19. Nanayakkara, Thilal, Mr (Communications Specialist, PMU)
20. Nandakumara, P A G S, Mr [Conservator of Forests (Protection & Law Enforcement)]
21. Peiris, Lakshman, Dr (Deputy Director, Dept. of Wildlife Conservation)
22. Rajaguru, Methmali, Ms (Climate Change Secretariat)
23. Samarasuriya, Shireen, Ms (UNDP GEF Small Grants Manager)
24. Sathurusinghe, Anura Mr (Conservator General of Forests & National Project Director)
25. Seneviratne, Mahinda, Mr [Conservator of Forests (Environmental Management)]
26. Uruwarige Wannilaaththo, Mr (IP Chief)
27. Vithanage, Chandraratne, Mr (Ceylon Chamber of Commerce)
28. Vithanage, Hemantha, Mr (Chair, SLCFAN)
29. Weeratunga, Chamila, Ms (Member, Convening Committee, SLCFAN)
30. Weragoda, W A C, Mr [Conservator of Forests (Silviculture and Forest Management)]
31. Wickramasinghe, Anoja, Prof. (Gender Consultant, PMU)
32. Wickremasinghe, Hasula Ms (Climate Change Secretariat)
33. Wijeratne, D B T, Dr (Assistant FAO Representative – Programme)

Skype Interviews:

34. Ben Vickers, Regional Programme Officer UN-REDD Programme, FAO Bangkok
35. Celina (Kin Yii) Yong, Stakeholder Engagement Specialist, UNDP Bangkok
36. Aki Kono, ex-UNDP Bangkok
37. Keiko Nomura, ex-UN Environment Bangkok
38. Thomas Enters, ex-UN Environment Bangkok

Annex 5. Results Framework with (modified) targets¹ and indicators

Outcomes and outputs	Targets	Indicators
1. National consensus reached on NP	Readiness process guided broad-based multi-stakeholder body based on nationally agreed Roadmap by March 2015	No. of state & non-state entities actively supporting & contributing to REDD+ Readiness
1.1: Broad-based, multi-stakeholder national REDD+ advisory group established	PEB demonstrating nationally led Readiness process by June 2013; 2 workshops p.a. + 4 meetings p.a.	TOR endorsed by MoE and PEB members appointed
1.2: Legal, procedural and institutional arrangements for sectors relevant for REDD+ reviewed	Thematic groups established by Sept 2013; Recommendations based on reviews/consultations by Feb 2014; Guidelines developed & moving towards implementation by Sept 2014	Strategic directions/ guidance for effective implementation of NP
1.3: National REDD+ Roadmap prepared	Draft Roadmap available for public review & comments by Dec 2013; Roadmap officially adopted and guiding Readiness process by March 2014	Set of well-structured PAMs and actions agreed by all relevant stakeholders
2. Management arrangements contributing to REDD+ process	Readiness management structure operational, and effectively/ efficiently supporting Readiness process by June 2013; Management structure leading institutional capacity building process by Sept 2014	National REDD+ Office fully functional under PEB guidance with clear plans for capacity development
2.1: Programme implementation arrangements established	All PMU positions recruited & duties assumed by April 2013; TFs & TWGs fully operational by June 2013; 2 coordination/capacity building meetings/workshops per month	Level PMU staffing; participation status of TFs & TWGs; % of annual NP targets met; no. of workshops/meetings held for coordination & capacity building
2.2: Capacity Building Action Plan developed for REDD+	Management structure, institutional arrangements & competencies approved by PEB by Jan 2014; CBNA completed by March 2014; CB Action Plan prepared & endorsed by PEB by June 2014	Management structure, institutional arrangements, competencies for institutions approved by PEB; CB Action Plan endorsed by stakeholders
3. Improved stakeholder awareness & effective engagement	Key state & non-state (100) groups including IPs, forest-dependent communities aware of REDD+ and engaged in Readiness activities by March 2016	Number and types of stakeholders meaningfully engaged in Readiness

¹ The dates entered in the targets column assumed the NP commenced in February 2013; therefore a completion target of 12 months, for example, is entered as 'by March 2014'.

Outcomes and outputs	Targets	Indicators
3.1: Strategic communication and consultation plan prepared	Communication strategies developed & adopted by Sept 2013; Website & media platform disseminating info, lessons & getting feedback by Dec 2013; Key state & non-state stakeholders fully aware of REDD+ & able to contribute to national process by March 2015	Set of well-structured communication strategies and activities for strategies approved by PEB; website developed
3.2: Stakeholder engagement in REDD+ readiness process enhanced	Appropriate stakeholder fora, including IPs, women & others, identified & receiving sufficient CB to contribute to REDD+ decision-making by Oct 2013; FPIC guidelines drafted & piloted in 1 district, consultations on grievance mechanism by Sept 2014, guidelines finalised, FPIC training programmes implemented by Sept 2015; Grievance mechanism proposed & tested by March 2015, operational by March 2016	Representative stakeholder fora developed & their contributions considered by PEB in decision-making; National FPIC Guidelines developed & piloted; Grievance handling mechanism operational
4. NS (NRIFAP) and implementation framework	NS and implementation plans fully supported by all relevant stakeholders by March 2016	Comprehensive NS and implementation plans developed & validated with stakeholders
4.1: Drivers of deforestation and forest degradation, and legal and policy alignment needs identified	Analysis of D&FD drivers by October 2013; Opportunity cost assessment & implementation framework for addressing drivers by Jan 2014; Policy recommendations & sectoral action plans prepared, tested, endorsed by stakeholders, proposed to PEB by Nov 2014 Policy recommendations partially implemented by April 2015	Drivers/causes of D&FD fully identified; REDD+ opportunity cost assessment completed; Legal/policy gaps identified; policy recommendations & action plans identified & supported by stakeholders
4.2: Land tenure and use rights clarified towards the benefit sharing of REDD+	Land & forest tenure assessment completed by June 2014 Proposal to clarify land ownership and related rights (e.g. carbon rights) adopted by PEB by June 2015	Detailed report describing land tenure patterns
4.3: Options for addressing deforestation and forest degradation at sub-national level identified	At least 70% of the identified options are considered in the preparation of NS by July 2015	No. of options for addressing D&FD drivers, stakeholder engagement, technical approaches at sub-national level identified
4.4: Options for equitable and transparent benefit sharing identified	Analysis of possible benefit sharing arrangements by March 2015	Set of policy recommendations on benefit sharing approved by PEB

Outcomes and outputs	Targets	Indicators
	Consultation on benefit sharing mechanisms completed by September 2015	
4.5: National REDD+ Strategy (NS) developed	NS fully elaborated by Sept 2015 NS endorsed & implementation plans agreed by March 2016	Officially endorsed NS available
5. Forest Monitoring System	Complete set of technical guidelines/manuals, systems & procedures, institutional & individual capacities in place for full implementation of NFMS, MRV & safeguards	No. of key guidelines, manuals, systems, procedures, CB programmes endorsed by PEB
5.1: MRV process initiated	MRV action plan elaborated by Sept 2013 National forest definition adopted by March 2014 GHG inventory training by March 2014 National central database developed by March 2014 QA/QC procedures operational, guidelines/instruction manuals available by March 2016	Set of technical guidelines, instruction manuals available
5.2: National forest monitoring system (NFMS) established	At least 5 trainings on remote sensing/GIS by June 2014 Existing satellite images for SL analysed by March 2016 Reference forest map developed by March 2016 NFMS operational by March 2016	NFMS available Set of pre-tested technical guidelines/instruction manuals available Technical officers handling equipment efficiently, effective production of info. Reference forest map developed
5.3: National forest inventory designed	Training on tree allometric equation by March 2014 Forest inventory databased developed by Sept 2014 Database with all available inventory data by June 2014 10 field trainings by March 2015 Inventory designed & adopted by Sept 2015	Inventory designed, field inventory manual developed, adequate tools to assess emission factors
5.4: National circumstances considered for REL/RL	Different socio-economic scenarios tested by March 2015 National circumstances assessed by March 2016	Assessment report on national circumstances addressing different implementation scenarios
5.5: National FRL tested	Different FRLs tested by March 2016	Nationally agreed FRL available
5.6: Framework for risk mitigation/ benefit enhancement designed	Safeguards & indicators identified by Sept 2014 Safeguards & indicators tested & submitted for official endorsement by Sept 2015	Pre-tested nationally appropriate safeguards endorsed & used by NP

<i>Outcomes and outputs</i>	<i>Targets</i>	<i>Indicators</i>
	Safeguards info available in central database by March 2016	

**Annex 6. List of Participants at Theory of Change Workshop
(4th May 2017, Waters Edge, Battaramulla, Colombo)**

1. Alawatte, Isuru (Forest Department)
2. Attygalla, Prasad R (ex- Technical Advisor, PMU).
3. Baminiwatte, Shanthakumar (PMU)
4. Corblin, Alexis (PMU)
5. Dulani, H N K T (Climate Change Secretariat)
6. Edirisinghe, E A P N (Forest Department)
7. Fernando, Sachith (Dept. of National Planning)
8. Godamanna, Thilak (The National Chamber Of Commerce)
9. Hapuarachchi, H D Sisira (Land Use Policy Planning Department)
10. Kumar, Raushan (PMU)
11. Munasinghe, Nalin (ex-National Project Manager, PMU)
12. Pathragoda, Dilena (Centre for Environmental Justice, representing SLCFAN Secretariat)
13. Rajaguru, Methmali (Climate Change Secretariat)
14. Rajapaksha, S I (Ministry of Mahaweli Development & Environment)
15. Sugirthan, K (Dept of National Physical Planning)
16. Suraweera, Praneeth (Forest Department)
17. Wickremasinghe, Hasula (Climate Change Secretariat)

Annex 7. Attendance by participating institutions at meetings of PEB, UN-REDD SC and RACB

<i>Meeting</i>	<i>PEB</i>								<i>UN REDD SC</i>			<i>RACB</i>		
<i>Agency</i>	<i>#1</i>	<i>#2</i>	<i>#3</i>	<i>#4</i>	<i>#5</i>	<i>#6</i>	<i>#7</i>	<i>#8</i>	<i>#1</i>	<i>#2</i>	<i>#3</i>	<i>#1</i>	<i>#2</i>	<i>#3</i>
Ministries														
MoMD&E	√	√	√	√	√	√	√	√	√	√	√	√	√	√
MLLD		√	√			√	√		√	√		√	√	√
MoA		√	√		√	√		√					√	
MoPI		√	√	√	√	√	√	√		√		√	√	
Min. Irrigation			√	√	√		√	√					√	
Departments														
Forest Dept.	√	√	√	√	√	√	√	√	√	√	√	√	√	√
DWC	√	√	√		√	√	√	√	√	√		√	√	
SD		√	√	√	√		√	√	√	√	√		√	√
Meteorology				√	√		√							
External Resources		√		√	√	√						√	√	√
National Planning		√	√				√					√	√	√
Other Government Agencies														
CCS	√	√	√	√	√	√	√		√		√	√	√	
CEA		√	√			√	√		√	√		√	√	√
MASL		√	√	√	√	√	√	√			√		√	
Others														
UNDP	√	√	√	√	√	√	√			√	√	X	X	X
FAO	√	√	√	√	√	√	√	√	√	√	√	X	X	X
UN Environ.	√		√	√	√	√	√	√			√	X	X	X
IUCN							√				√	X	X	X
CS Platform	√	√	√	√	√	√	√	√	√	√	√	√	√	√
IP Platform		√	√	√	√	√	√		√	√	√			
ARF								√		√				√
CCC								√	√	√				
NCC								√		√		√	√	√

Note: X = Not a member (of RACB)

Annex 8. Composition of Technical Working Groups and Task Forces

1. TWG - Forest Reference Emission Levels

- a) Mr H U Dias, Deputy Conservator of Forest
- b) Mr Isuru Alawatte, Assistant Conservator of Forest
- c) Mr Eranda Gamage, Assistant Director, Department of Wildlife Conservation
- d) Ms Priyanthi, Assistant Director, Land Use Policy and Planning Department
- e) Ms Hasula Wickremasinghe, Programme Assistant, Climate Change Secretariat
- f) Prof. J De Costa, University of Peradeniya
- g) Mr Raushan Kumar, Forestry Officer, UN-REDD Programme
- h) Mr A.N.S. Baminiwatte, MRV National Consultant, UN-REDD Programme

2. TWG - Strengthen the national approach to REDD+ safeguards

- a) Ms Methmali Rajaguru, Climate Change Secretariat
- b) Ms Hasula Wickramasinghe, Climate Change Secretariat
- c) Mr P A G S Nandakumara, Forest Department
- d) Dr U K Lakshman Peiris, Department of Wildlife Conservation
- e) Ms Kusala Mahalekame, Central Environmental Authority
- f) Mr A G Chandrapala, Department of Agriculture
- g) Mr K Sugirthan, National Physical Planning Department
- h) Mr T M A Tennakoon, Ministry of Mahaweli Development & Environment
- i) Mr Hemantha Withanage, Sri Lanka Climate and Forest Action Network
- j) Mr Nalin Munasinghe, UN-REDD Programme
- k) Mr Alexis Corblin, UN-REDD Programme

3. TWG - Other Forested Lands

- a) Mr Dhammika Ranatunga, Ministry of Plantation Industries
- b) Mr Sachith Fernando, National Planning Department
- c) Mr I W R Jayawardane, Sri Lanka State Plantations Corporation
- d) Mr Senarath Wanigathunga, Land Reform Commission
- e) Ms K M K K Kulathunga, Department of Buddhist Affairs
- f) Ms Piumi Costa, Janatha Estates Development Board
- g) M. Piyumi Attygalle, Ministry of Lands
- h) Mr P R Attygalle, SL-UN-REDD Programme
- i) Mr Isuru Alawatta, Forest Department
- j) Mr R A S Ranawaka, Coast Conservation Department
- k) Mr Sampath Dayarathne, Janatha Estates Development Board,
- l) Ms Jeewa W David, Central Environmental Authority
- m) Mr Prabhath Witharana, Department of Agrarian Development

4. TWG - Land Use Planning

- a) Ms W M Priyanthi, LUPPD
- b) Mr H D Sisira Hapuarachchi, LUPPD
- c) Ms Kusala Mahalekame, CEA

- d) Mr S P C Sugeeshwara, Irrigation Dept.
- e) Mr J M D B Jayasundara, Mahaweli Authority of Sri Lanka
- f) Mr Wasantha Dissanayaka, Forest Department
- g) Mr Alexis Corblin, UN-REDD
- h) Ms Priyanga Senarathne, Ministry of Megapolis and Western development
- i) Mr P MS Jayathilaka, National Planning Department
- j) Mr K Suhirthan, National Physical Planning Department
- k) Mr M A K Munasinghe, Agriculture Department

5. TWG - Forests, Wildlife and Watershed

- a) Mr Sarath Kulatunga, Forest Department
- b) Dr U K Lakshman Peiris, Wildlife Conservation Department
- c) Ms G D P N Chaturika, Central Environment Authority
- d) Eng. SPC Sugeeshwara, Irrigation Department
- e) Mr M A K Mubarak, Department of National Planning
- f) Mr. M A K Munasinghe, Natural Resource Management Centre
- g) Mr Sisira Hapuarachchi, Land Use Policy Planning Department
- h) Mr Raushan Kumar, Forestry Officer, UN-REDD Programme
- i) Mr A.N.S. Baminiwatte, MRV National Consultant, UN-REDD Programme

6. MRV Task Force

- a) Mr H D Sisira Haputantri, LUPPD
- b) Mr M A A N Hemekumara, CEA.
- c) Mr Saman Weerasinghe, Survey Department
- d) Ms Bhagya Fernando, Survey Department
- e) Dr U K L Peiris, Dept. of Wildlife Conservation
- f) Mr Sarath Kulatunge, Addl. Conservator General of Forest
- g) Mr Nishantha Edirisinghe, Deputy Conservator of Forest
- h) Ms Methmali Rajaguru, Climate Change Secretariat
- i) Mr Raushan Kumar, Forestry Officer, UN-REDD Programme
- j) Mr A.N.S. Baminiwatte, MRV National Consultant, UN-REDD Programme

7. Communications Task Force

- a) Dr Ananda Mallawatantri, IUCN Sri Lanka
- b) Ms Kiran Dhanapala, Sustainability & Environmental Consultant and Writer
- c) Mr Avanthi Jayatilake, EML Consultants (Pvt)Ltd
- d) Mr Keith Wijesuriya, OMD Sri Lanka
- e) Dr Jinie Dela, Freelance ecosystem education specialist
- f) Dr Rohan Wijekone, Department of Agriculture
- g) Prof. W L Sumathipala, Mahaweli Authority of Sri Lanka
- h) Nalaka Gunawardena, P V E Asia Pacific
- i) Dr. Ravi Fernando, Resident Country Rep, Insead Institute
- j) Mr Thilal Nanayakkara, Communications Officer, UN-REDD Programme

8. Task Force - National Policies & Strategies for REDD+

- a) Ministry of Mahaweli Development & Environment
- b) Ministry of Public Administration
- c) Ministry of Provincial Councils & Local Government
- d) Ministry of Finance,
- e) Ministry of National Policy & Economic Affairs
- f) Ministry of Agriculture,
- g) Ministry of Irrigation & Water resources
- h) Ministry of Plantation Industries,
- i) Ministry of Sustainable development & Wildlife,
- j) Ministry of Power & energy
- k) Ministry of Lands
- l) Ministry of Home Affairs
- m) Ministry of Mega polis and Western Development
- n) Other ministries and departments as appropriate according to the issues under discussion.

Annex 9. Planned and implemented activities

<i>Planned Activities</i>	<i>Implemented Activities</i>
Outcome 1: National Consensus reached on the National REDD+ Programme	
Output 1.1: Broad-based, multi-stakeholder national REDD+ advisory group established	
Output 1.2: National legal, procedural, institutional and capacity needs arrangements for sectors relevant for REDD+ reviewed	
Output 1.3: National REDD+ Roadmap prepared	
Activity 1.1.1 Review and finalize draft terms of reference for the National REDD+ Programme Management and Coordinating Committee (RPMCC)	Activity 1.1.1 Terms of reference for the UNREDD SC/RACB completed and approved
Activity 1.1.2. Establish RPMCC, through a ministerial decree	Activity 1.1.2. Established RACB, through a Cabinet Paper
Activity 1.1.3 Initiate national coordination workshops	Activity 1.1.3 Initiated national coordination workshops
Activity 1.1.4. Organize regular meetings of REDD+ stakeholders	Activity 1.1.4 Organized regular meetings of REDD+ stakeholders
Activity1.2.1. Conduct gap analysis and recommend actions (e.g., MRV and Monitoring, Policy and Measures & Stakeholder Engagement) (linked to Output 2.1 and 5.6)	Activity1.2.1. Conducted gap analysis and recommend actions (linked to Output 2.1 and 5.6)
Activity1.2.2. Review institutional and legal arrangements and lessons of the Haritha Lanka programme (including implications of Rio+ 20) and its relevance to REDD+	Activity1.2.2. Reviewed institutional and legal arrangements and lessons of the Haritha Lanka programme
Activity1.2.3. Stakeholder mapping (public and private sectors, CSO, forest dependent communities and Indigenous Peoples, etc.) (linked to Output 3.2)	Activity1.2.3. Stakeholder mapping completed (linked to Output 3.2)
Activity1.2.4. Identify capacity needs in national legal, procedural and institutional arrangements for REDD+	Activity1.2.4. Capacity needs identified in national legal, procedural and institutional arrangements for REDD+
Activity1.2.5. Develop a set of guidelines for management arrangements for the National REDD+ Programme	Activity1.2.5. Developed a set of guidelines for management arrangements for the National REDD+ Programme
Activity1.3.1. Review and consolidate all assessment results from output 1.2	Activity1.3.1. Reviewed and consolidated all assessment results from output 1.2
Activity1.3.2. Consultation meeting on preparation of the Roadmap (linked to Output 1.1 – Consultation Meeting)	Activity1.3.2. Consultation meeting on preparation of the Roadmap held
Activity1.3.3. Prepare a draft National REDD+ Roadmap	Activity1.3.3. Draft National REDD+ Roadmap prepared
Activity1.3.4. Invite public comments on the draft	Not achieved
Activity1.3.5. Finalize the Roadmap through a validation meeting with stakeholders	Activity1.3.5. Finalize the Roadmap through a validation meeting with stakeholders
Outcome 2: Management arrangements contributing to the National REDD+ process	
Output 2.1: UN-REDD Programme implementation arrangements established (PMU; Networks; TWGs)	
Output 2.2: Capacity Building Action Plan developed for REDD+ [cf. Output 1.2]	
Activity2.1.1. Establish and operate PMU and effective REDD+ management structure and working arrangements	Activity2.1.1. PMU established and operational

Planned Activities	Implemented Activities
Activity2.1.2. Establish networks and links between RPMCC, MoE, CCS, DWC and other related institutions (private sector, CBOs, NGOs, public sector, INGOs, academia, etc)	Activity2.1.2. Networks and links between RACB, MoE, CCS, DWC and other related institutions (private sector, CBOs, NGOs, public sector, INGOs, academia, etc.) established
Activity2.1.3. Establish TFs, TWGs and organize regular meetings and workshops and capacity building events (open to any other relevant groups)	Activity2.1.3. Established TFs, TWGs and organized regular meetings and workshops and capacity building events
Activity 2.1.4 Undertake regular M&E (including Terminal evaluation)	Activity 2.1.4 Regular M&E undertaken (including Terminal evaluation)
Activity2.2.1. Identify an effective REDD+ management structure and working arrangements with key institutions and partners – coordinate and collaborate with other development and national partner activities (e.g., assisted regeneration, fires, invasive species, agriculture, timber trade, production and consumption, etc.)	Activity2.2.1. Working arrangements with key institutions and partners established
Activity 2.2.2. Develop a Competency Framework for REDD+ in Sri Lanka	No, only 2.2.3
Activity 2.2.3. Prepare the capacity building action plan based on a Capacity Building Needs Assessment (CBNA) for the forest sector in Sri Lanka, including all stakeholder groups	Activity 2.2.3. Capacity Building Needs Assessment (CBNA) prepared.
Outcome 3: Improved stakeholder awareness and effective engagement	
Output 3.1: Strategic communication and consultation plan prepared	
Output 3.2: Stakeholder engagement in REDD+ Readiness process enhanced (including FPIC)	
Activity 3.1.1. Identify target groups (linked to Activity 1.2.3)	Activity 3.1.1. Target groups Identified
Activity 3.1.2 Establish communication networks with development partners for increased coordination and collaboration –e.g., linking up with DayataSevena campaign and DiviNeguma programme, plantation sector, CBOs, NGOs, civil society groups	Activity 3.1.2 Establish communication networks with development partners for increased coordination and collaboration
Activity 3.1.3. Design and validate communications strategies and plans for target groups in all 3 national languages for raising awareness, promoting engagement and behavioral changes towards green economy (communication formats, products and feedback/evaluation mechanisms) (linked to Output 3.2, Output 3.4 and Output 5.6)	Activity 3.1.3. Communication strategy developed and agreed upon.
Activity 3.1.4. Establish and maintain a trilingual REDD+ website and a media platform, and link with MoE media unit and websites of other stakeholders. (linked to Output 3.2)	Activity 3.1.4. Established and operationalised trilingual REDD+ website and a media platform, and link with websites of other stakeholders.
Activity 3.1.5. Document and disseminate lessons-learnt	Activity 3.1.5. Document and disseminate lessons-learnt
Activity 3.2.1. Agree and establish inclusive stakeholder forums linked to the National REDD+ process	Activity 3.2.1. Three stakeholder fora established.

Planned Activities	Implemented Activities
Activity3.2.2. Support self-organized regular meetings by the stakeholder forums	Activity3.2.2. Self-organized regular meetings by the stakeholder fora supported.
Activity3.2.3. Consult with stakeholders and identify a pilot location for demonstrating how FPIC can be applied in a real case (linked to Output 4.1)	Activity3.2.3. Consult with stakeholders and identify a pilot location for demonstrating how FPIC can be applied in a real case (linked to Output 4.1)
Activity3.2.4. Pilot FPIC and document lessons (linked to Output 5.6)	Activity3.2.4. Pilot FPIC and document lessons (linked to Output 5.6)
Activity3.2.5. Prepare and validate a national FPIC guideline and application toolkit	Activity3.2.5. Prepare and validate a national FPIC guideline and application toolkit
Activity3.2.6. Design training programs for FPIC application	Activity3.2.6. Design training programs for FPIC application
Activity3.2.7. Review existing grievance systems and establish an appropriate grievance mechanism	Activity3.2.7. Review existing grievance systems and establish an appropriate grievance mechanism
Activity 3.2.8 Design and implement training on communication and team building for relevant institutions, NGOs and CBOs, Indigenous People and local communities, women, private sector and other relevant groups (linked to Output 3.1)	Activity 3.2.8 Design and implement training on communication and team building for relevant institutions, NGOs and CBOs, Indigenous People and local communities, women, private sector and other relevant groups (linked to Output 3.1)
Activity 3.2.9 Design and implement customized communication training for relevant institutions	Activity 3.2.9 Design and implement customized communication training for relevant institutions
Activity3.2.10. Enhancement of equipment and material for communication and extension programmes of the FD and other relevant agencies of cross sectoral significance with regard to REDD+	Activity3.2.10. Enhancement of equipment and material for communication and extension programmes of the FD and other relevant agencies of cross sectoral significance with regard to REDD+
Outcome 4: National REDD+ Strategy (NRIFAP) and implementation framework	
Output 4.1: Drivers of deforestation and forest degradation, and legal and policy alignment needs identified	
Output 4.2: Land tenure and use rights clarified towards the benefit sharing of REDD+	
Output 4.3: Options for addressing deforestation and forest degradation at sub-national level identified	
Output 4.4: Options for equitable and transparent benefit sharing identified	
Output 4.5: National REDD+ Strategy developed	
Activity4.1.1. Identify drivers of D&D (Further confirmation of the initial assessment of drivers – Annex in R-PP	Activity4.1.1. Drivers of D&D identified
Activity4.1.2. Assess national forest governance systems (linked to Output 5.6)	Activity4.1.2. The national forest governance systems assessed
Activity4.1.3. Assess existing laws and policies to foster policy alignment in the land resources and other relevant sectors (linked to Output 1.2. and 5.6)	Activity4.1.3. Existing laws and policies to foster policy alignment in the land resources and other relevant sectors assessed
Activity4.1.4. Analyse conflicts of interest between development activities and forest conservation and recommend remedial measures (linked to 5.6)	Activity4.1.4. Analyse conflicts of interest between development activities and forest conservation and recommend remedial measures (linked to 5.6)
Activity4.1.5. Conduct an Integrated spatial and economic analysis of sectoral development plans and scenarios (e.g. concession, infrastructure, etc.) and potential areas of conflict (linked to output 4.4)	Activity4.1.5. Conduct an Integrated spatial and economic analysis of sectoral development plans and scenarios (e.g. concession, infrastructure, etc.) and potential areas of conflict (linked to output 4.4)

Planned Activities	Implemented Activities
Activity4.1.6. Provide policy recommendations and sectoral action plans for REDD+ (incl. SFM, agriculture and transformational policies toward green economy)	Activity4.1.6. Provide policy recommendations and sectoral action plans for REDD+ (incl. SFM, agriculture and transformational policies toward green economy)
Activity4.1.7. Validate policy recommendations with stakeholders	Activity4.1.7. Validate policy recommendations with stakeholders
Activity 4.1.8 Assess the existing laws and policies to foster policy alignment in the relevant sectors (linked to activity 4.2.2.)	Activity 4.1.8 Existing laws and policies to foster policy alignment in the relevant sectors assessed
Activity4.2.1. Assess land and forest tenure systems and applicability under REDD+	Activity4.2.1. Land and forest tenure systems and applicability under REDD+ assessed
Activity4.2.2. Analyse gaps in land ownership and related legislations and policies (including gender issues) (linked to Output 5.6)	Activity4.2.2. Analyse gaps in land ownership and related legislations and policies (including gender issues) (linked to Output 5.6)
Activity4.2.3. Study the meaning and applicability of the concept of 'carbon rights' (linked to Output 5.6)	Activity4.2.3. Study the meaning and applicability of the concept of 'carbon rights' (linked to Output 5.6)
Activity4.2.4. Consult with stakeholders to promote and develop holistic land-use planning strategies (linked to activity 4.1.6)	Activity4.2.4. Consult with stakeholders to promote and develop holistic land-use planning strategies (linked to activity 4.1.6)
Activity4.2.5. Clarify land ownership/tenure and use rights to enable REDD+ activities	Activity4.2.5. Land ownership/tenure and use rights to enable REDD+ activities assessed
Activity4.3.1. Resolve conflicts with local people related to available guidelines/ legal boundaries and clarify forest boundary disputes where necessary	Activity4.3.1. Resolve conflicts with local people related to available guidelines/ legal boundaries and clarify forest boundary disputes where necessary
Activity4.3.2. Review and readdress potential impacts in human/wildlife conflicts through REDD+/SFM activities	Activity4.3.2. Review and readdress potential impacts in human/wildlife conflicts through REDD+/SFM activities
Activity4.3.3. Conduct an inventory of reforested areas	Activity4.3.3. Conduct an inventory of reforested areas
Activity4.3.4. Assess opportunity cost of alternate livelihoods/land uses	Activity4.3.4. Assess opportunity cost of alternate livelihoods/land uses
Activity4.3.5. Assess potential sustainable uses and species to be utilized in enrichment planting in degraded forests	Activity4.3.5. Assess potential sustainable uses and species to be utilized in enrichment planting in degraded forests
Activity4.3.6. Analyse the status of degraded forests that can be used for assisted regeneration or enrichment planting and provide policy options	Activity4.3.6. Analyse the status of degraded forests that can be used for assisted regeneration or enrichment planting and provide policy options
Activity4.3.7. Establish an inventory of tree cover outside forests and dynamics of agro-forest gardens (linked to Output 5.2)	Activity4.3.7. Establish an inventory of tree cover outside forests and dynamics of agro-forest gardens (linked to Output 5.2)
Activity4.3.8. Assess potential for private sector engagement in REDD+, including tea and other plantation industries	Activity4.3.8. Assess Potential for private sector engagement in REDD+, assessed
Activity4.3.9. Develop an approach for mainstreaming REDD+ into Provincial/District level planning processes	Activity4.3.9. Develop an approach for mainstreaming REDD+ into Provincial/District level planning processes

Planned Activities	Implemented Activities
Activity4.3.10. Analyse lessons from participatory models in the forest sector	Activity4.3.10. Analyse lessons from participatory models in the forest sector
Activity4.4.1. Assess existing systems for financial management and distribution (e.g., micro-finance, national pension and healthcare schemes, etc.)	Activity4.4.1. Assess existing systems for financial management and distribution (e.g., micro-finance, national pension and healthcare schemes, etc.)
Activity4.4.2. Recommend potential policy options for REDD+ finance management and benefit sharing arrangements (linked to Output 5.6)	Activity4.4.2. Recommend potential policy options for REDD+ finance management and benefit sharing arrangements (linked to Output 5.6)
Activity4.4.3. Validate policy recommendations with stakeholders	Activity4.4.3. Validate policy recommendations with stakeholders
Activity4.5.1. Develop national REDD+ strategy options and recommendations, including integrated financing strategies based on all assessment and consultation outcomes	Activity4.5.1. NRIFAP developed
Activity4.5.2. Validate national REDD+ strategy options and recommendations with stakeholders	Activity4.5.2. NRIFAP approved by stakeholder forums
Outcome 5. Monitoring and MRV results for REDD+ activities provided	
Output 5.1: MRV process initiated	
Output 5.2: National forest monitoring systems established	
Output 5.3: National forest inventory designed	
Output 5.4: National circumstances considered for REL/RL	
Output 5.5: National REL/RL tested	
Output 5.6: Framework for social and environmental risk mitigation and potential multiple benefit enhancement designed	
Activity5.1.1. Development of the MRV Action Plan, while ensuring sustainability of the Action Plan	Activity5.1.1. MRV Action Plan developed
Activity5.1.2. Enhance general capacities for various stakeholders involved in monitoring and MRV	Activity5.1.2. Enhance general capacities for various stakeholders involved in monitoring and MRV
Activity5.1.3. Deliver forest sector capacity training on GHG inventory	Activity5.1.3. Deliver forest sector capacity training on GHG inventory
Activity5.1.4. Rationalize forest definition and establish a forest stratification system	Activity5.1.4. Rationalize forest definition and establish a forest stratification system
Activity5.1.5. Establish a central database and archiving system including the provision of information on REDD+ safeguards (linked to Output 5.6)	Activity5.1.5. A central database and archiving system including the provision of information on REDD+ safeguards provided.
Activity5.1.6. Harmonization of existing EF and AD data and identifying data gaps	Activity5.1.6. Harmonization of existing EF and AD data and identifying data gaps
Activity5.1.7. Develop QA/QC procedures for activity data and emission factors	Activity5.1.7. Develop QA/QC procedures for activity data and emission factors
Activity5.2.1. Training on forest cover monitoring (remote sensing, GIS and database management etc.)	Activity5.2.1. Training on forest cover monitoring completed
Activity5.2.2. Collate and populate database with mapping information	Activity5.2.2. Collated and populated database with mapping information
Activity5.2.3. Analyse satellite imagery and provide recommendations for forest monitoring	Activity5.2.3. Satellite imagery analysed and recommendations provided for forest monitoring

Planned Activities	Implemented Activities
Activity5.2.4. Identify and validate parameters for forest monitoring system with stakeholders	Activity5.2.4. Parameters for forest monitoring system with stakeholders identified and validated
Activity5.2.5. Determine the role of communities in monitoring forest cover change	Activity5.2.5. Determine the role of communities in monitoring forest cover change
Activity5.2.6. Undertake a cost benefits analysis for the forest monitoring system	Activity5.2.6. Undertake a cost benefits analysis for the forest monitoring system
Activity5.2.7. Develop and operationalize a country-specific forest monitoring system	Activity5.2.7. Develop and operationalize a country-specific forest monitoring system
Activity5.2.8. Develop and deliver training programmes on data interpretation for monitoring systems (as part of the collaboration between FAO and INPE)	Activity5.2.8. Develop and deliver training programmes on data interpretation for monitoring systems (as part of the collaboration between FAO and INPE)
Activity5.2.9. Calibration and field data collection	Activity5.2.9. Calibration and field data collection
Activity5.2.10. Support ongoing land use mapping activities with high level details of forestlands	Activity5.2.10. Support ongoing land use mapping activities with high level details of forestlands
Activity5.3.1. Design the national forest inventory (incl. field manual) (linked to Output 5.6)	Activity5.3.1. National forest inventory designed
Activity5.3.2. Specific training on forest inventory	Activity5.3.2. Specific training on forest inventory delivered
Activity5.3.3. Develop a division wise tree species and forestry database	Activity5.3.3. Develop a division wise tree species and forestry database
Activity5.3.4. Collate, populate the database and harmonize the data on forest inventories (incl. allometric equations, wood density, and conversion factors)	Activity5.3.4. Collate, populate the database and harmonize the data on forest inventories (incl. allometric equations, wood density, and conversion factors)
Activity5.3.5. Specific training on allometric equations, wood density, and conversion factors, soils and litter carbon stock assessment, etc. (incl. field training)	Activity5.3.5. Specific training on allometric equations, wood density, and conversion factors, soils and litter carbon stock assessment, etc. (incl. field training)
Activity5.3.6. Undertake national consultations for parameters to be included in NFI	Activity5.3.6. Undertake national consultations for parameters to be included in NFI
Activity5.3.7. Validate NFI with stakeholders	Activity5.3.7. Validate NFI with stakeholders
Activity5.3.8. Develop emission factors for REDD+ related activities based on existing data	Activity5.3.8. Develop emission factors for REDD+ related activities based on existing data
Activity5.3.9. Carry out field training programmes at demonstration sites and test use of activity data and emission factors	Activity5.3.9. Carry out field training programmes at demonstration sites and test use of activity data and emission factors
Activity5.4.1. Assess Sri Lanka's national circumstances	Activity5.4.1. Sri Lanka's national circumstances assessed
Activity5.4.2. Assess post conflict impacts on national forest cover, land use planning, rural livelihoods and demographics (linked with Activity 4.1.4.)	Activity5.4.2. Assess post conflict impacts on national forest cover, land use planning, rural livelihoods and demographics (linked with Activity 4.1.4.)
Activity5.4.3. Test different socio-economic scenarios on the REL/RL through consultations with local stakeholders to discuss the current thinking and	Activity5.4.3. Test different socio-economic scenarios on the REL/RL through consultations with local stakeholders to discuss the current thinking and

<i>Planned Activities</i>	<i>Implemented Activities</i>
methodologies for modelling future emissions scenarios based on historic emissions	methodologies for modelling future emissions scenarios based on historic emissions
Activity5.5.1. Collate and harmonize past forest cover and other land use data	Activity5.5.1. Collated and harmonized past forest cover and other land use data
Activity5.5.2. Develop national capacities in REL/RL, GIS	Activity5.5.2. Developed national capacities in REL/RL, GIS
Activity5.5.3. Test REL/RL	Activity5.5.3. Tested REL/RL
Activity5.6.1. Identify the scope of social and environmental safe guards (Objectives, settings, etc) and conduct policies , laws and regulations (PLRs) gap analysis (Linked to Outputs 1.2 & 4.2)	Identified the scope of social and environmental safe guards (Objectives, settings, etc) and conduct policies , laws and regulations (PLRs) gap analysis (Linked to Outputs 1.2 & 4.2)
Activity5.6.2. Identify and agree on nationally appropriate REDD+ safeguards and indicators	Identified and agreed on nationally appropriate REDD+ safeguards and indicators
Activity5.6.3. Develop information gathering methodologies (consultations, secondary data, statistics and survey) and change monitoring approach through demonstration activities	Develop information gathering methodologies (consultations, secondary data, statistics and survey) and change monitoring approach through demonstration activities
Activity5.6.4. Provide information on risks of displacement and reversal for demonstration site	Provide information on risks of displacement and reversal for demonstration site
Activity5.6.5. Collect and analyse information on safeguards using the identified methodologies and approach to identify risks and potential multiple benefits,	Collect and analyse information on safeguards using the identified methodologies and approach to identify risks and potential multiple benefits,
Activity5.6.6. Consultation based on analysis results to identify risk mitigation and benefit enhancement measures (linked to Output 4.1)	Consultation undertaken based on analysis results to identify risk mitigation and benefit enhancement measures (linked to Output 4.1)
Activity5.6.7. Link safeguards information into the central database and archiving system under Output 5.1	Link safeguards information into the central database and archiving system under Output 5.1

Annex 10. Comments on the GEF Small Grants CBR+ Programme

The Community Based REDD+ (CBR+) programme was designed to support engagement and participation of communities and indigenous peoples in national REDD+ processes, by building their capacities to engage and support the development of lessons at the local level to inform national and international REDD+ decision-making.

The following excerpt from *CBR+ Country Plan for Sri Lanka* explains the purpose of the small grants programme:

The CBR+ aims to support the engagement and participation of communities and indigenous peoples in national REDD+ processes, by building their capacities to engage, and supporting the development of lessons at the local level to inform national and international REDD+ decision-making. CBR+ is a partnership between the UN-REDD Programme and the GEF Small Grants Programme (SGP), to deliver grants to the local level, to empower communities and indigenous peoples to engage in REDD+ readiness activities, and develop experiences, lessons, and recommendations at the local level to feed into national REDD+ processes. The CBR+ national plan for Sri Lanka is expected to deliver the outcomes of (a) Inform communities about the risks and benefits of REDD+ and provide other kinds of support to enable effective participation in the planning of REDD+ actions and the REDD+ strategy through Participatory processes for community engagement, and (b) Test approaches for forest-dependent and indigenous communities to address the drivers of land-use change that could lead up to playing a role within the national REDD+ strategy.

It was a partnership between the UN-REDD Programme and the GEF Small Grants Programme (SGP) to deliver grants to the local level, empower communities and indigenous peoples to engage in REDD+ readiness activities, and develop experiences, lessons, and recommendations at the local level to feed into national REDD+ processes. The two main objectives according to the CBR+ Country Plan for Sri Lanka were to:

- Inform communities about the risks and benefits of REDD+ and provide other kinds of support to enable effective participation in planning REDD+ actions and the REDD+ strategy through participatory processes for community engagement;
- Test approaches for forest-dependent and indigenous communities to address drivers of land-use change, and that could lead to playing a role in the national REDD+ strategy.

The CBR+ country plan recommended a focus in the most vulnerable forest regions of the Dry Zone, with specific locations and communities to be identified in consultation with regional and divisional forest officials. GEF allocated USD 425,000 for CBR+, including USD 25,000 each for the UNDP 'Cost of Business' component and knowledge management, leaving USD 375,000 for grantees.

The CBR+ small grants scheme was advertised in local newspapers in all three languages in February 2015, calling for proposals to address:

- Deforestation and forest degradation such as encroachments;
- Shifting cultivation;

- Illegal felling;
- Development projects
- Deliberate forest fires

Over 40 proposals were reviewed by a team of representatives from UNDP-GEF, FD and UN-REDD Secretariat at a meeting held in FD. The GEF National Steering Committee approved eight projects and two studies in June 2015 as listed in the table below.

Table of projects and grantees of the CBR+ Programme

Projects and grantees	Value (USD)
Improved management of Dry Zone forest in Kadapalla [Grantee: <i>Future in Our Hands Development Fund</i>]	40,000
Protection of Bambaragala dense forest through community participation [Grantee: <i>Ekabadda Praja Sanwardene Kantha Maha Samgamaya</i>]	50,000
Community-based protection and conservation of Kiwulewatta Village – Thimbirigolla Reserve [Grantee: <i>National Ethnic Unity Foundation</i>]	50,000
Combating deforestation and forest degradation by minimising forest fires [Grantee: <i>Sabaragamuwa Community Development Foundation</i>]	35,215
Community-based forest management of Madhu Sanctuary [Grantee: <i>National Forum for Climate Change</i>]	49,791
Establishment of the Sri Lanka CSO forest management project [Grantee: <i>Centre for Environmental Justice</i>]	50,000
Reducing drivers of deforestation and degradation through forest law awareness and legal aid [Grantee: <i>Public Interest Litigation Foundation</i>]	49,994
Empowering indigenous communities to reduce drivers of forest degradation [Grantee: <i>Women Development Foundation</i>]	50,000
Tropical Ecosystem Research Network (CBR+ National Report)	24,837
Janathakshan (Knowledge management)	25,163

The projects have been monitored using the GEF Small Grants M&E mechanism involving members of the National Steering Committee, the Technical Advisory Group and the UN-REDD Secretariat. The projects are now coming to an end, and the results are to be presented at a seminar scheduled for 11 June 2017.

The evaluation did not come across any evidence of the small grants contributing towards the objectives spelled out above. The NRIFAP process started during the 1st quarter of 2016, and the small projects were in various stages of maturity; indeed they were near maturity when NRIFAP's final preparation stage. It was very clear that there has been very little engagement between the Small Grants Programme (SGP) and PMU towards providing inputs from SGP for NRIFAP preparation. For example, periodic reports from projects could have provided some lessons to address, say, (b) above. Furthermore, at the field level, there has been minimal engagement with the Forest Department.

It was noted that FD has expressed dissatisfaction on programme implementation, and one of the Trade Unions in FD has made a formal complaint to the authorities, while UNDP GEF has expressed

concerns about the performance of some of the projects. The PMU was not directly involved in management, but nominated three agencies to be members of the GEF Small Grants National Steering Committee. Attempts were made by PMU staff to create linkages between CBR+ and the NP, but this interest was not reciprocated. FD was also only very weakly engaged. The weak monitoring arrangements have also meant that the CBR+ experience has not informed the NP or development of the NRIFAP. Overall, CBR+ has worked somewhat in isolation of the REDD+ process.

Annex 11. List of trainings, events, communication products, etc. (provided by PMU)

<i>Training, event, communication product, etc.</i>	<i>Date</i>	<i>No. of participants</i>
Awareness Creation Programmes		
Launch of NRIFAP	9 May 2017	400
Private sector consultation on NRIFAP	27 Jan 2017	60
Launch of NFMS	2 Mar 2017	72
Consultation on socio-economic Analysis of NRIFAP	19 Dec 2016	12
SLCFAN Briefing on NRIFAP	8 Dec 2016	38
An awareness Raising Programme for CSO on REDD+	16 Nov 2016	53
Multi- stakeholder FRL consultation workshop	28 Sept 2016	13
Planning workshop on effective engagement of Indigenous Peoples in REDD+	20 Sept 2016	47
IP National Briefing	30 Aug 2016	38
Awareness Workshop for SLCFAN members on PAMs	12 Aug 2016	10
National Approach to REDD+ Safeguards Final Workshop	21 July, 2016	22
Sri Lanka Climate and Forest Action Network- SLCFAN National Briefing	12 July 2016	42
Brainstorming Session on ‘Cancun Safeguards Principles’	9 June 2016	18
Safeguards Community Consultation Workshop	4 June 2016	26
Consultative Workshop to Link CBR+ Guarantees with Forest and Wildlife Department Officials	2 June 2016	47
Brainstorming Session on National Approach to REDD+ Safeguard	1 April 2016	10
Workshop on New Trends of the Forestry Sector in Sri Lanka for the Members of the Association of Retired Professional Foresters (ARPF)	4-5 March 2016	20
An Awareness Raising Programme for CSOs on REDD+	16 November 2016	53
Awareness Workshop for Government Officers on REDD+ Implementation in Sri Lanka	18 December 2015	53
An Awareness Raising Programme for the Academia on the REDD+ Implementation Process in Sri Lanka	4 December 2015	30
An awareness session for the PEB members and alternates to review the proposed institutional arrangements for REDD+ implementation	3 December 2015	21
REDD+ Experiential Learning Series	28 October 2015	8
Awareness Workshop to the Private Sector on REDD+ Initiatives	19-20 ^h November 2015	15

<i>Training, event, communication product, etc.</i>	<i>Date</i>	<i>No. of participants</i>
High Level Strategic Discussion on developing the REDD+ Roadmap and National REDD+ Strategy	24 August 2015	21
High Level Strategic Discussion on developing the REDD+ Roadmap and the National REDD+ Strategy	20 October 2015	12
District Level Awareness Programme- Planning Session III (Training for Trainers)	2 October 2015	20
Awareness Workshop for Writers	10 September 2015	13
An Awareness Raising Programme about the Sri Lanka UN REDD Programme and REDD+ for Senior Staff of Mahaweli Authority	9 June 2015	34
REDD+ Presentation to External Resources Department Staff	20 May 2015	8
Awareness Session to Share the Findings of the Major Studies Conducted by Sri Lanka UN-REDD Programme	6 April 2015	22
Awareness Workshop for Climate Change Secretariat Staff	19 December 2014	20
Awareness Workshop for the Plantation Sector on REDD+	4-5 December 2014	23
CSOs District Awareness Workshop- Training of Trainers (TOT)	25 November 2014	40
An Awareness Raising Programme for the Administrative and Supportive Staff of the FD, CCS and DWC	11 ^h September 2014	20
Open Discussion with Indigenous People	14 August 2014	45
An Awareness Workshop on Sri Lanka UN-REDD Programme for the Alternates and Members of Programme Executive Board (PEB)	3 April 2014	22
An Awareness Programme for the Senior Staff of Department of Wildlife Conservation	6-8 March 2014	25
Awareness Workshop on UN-REDD Programme for DFOs and Other Staff of Forest Department	11 November 2013	53
Awareness Program on UN-REDD Programme for Students of University of Peradeniya	22 November 2013	5
Sri Lanka UN-REDD Programme- Multi Stakeholder Meeting	24 September 2013	8
Awareness Workshop- Sri Lanka UN-REDD Programme	27 September 2013	65
Specialised Capacity Development Events		
Two-Day Residential Workshop For Academic & Research Forum (ARF)	6 Apr 2017	20
Eco system services Assessment & Valuation - Introduction to the natural Capital Approach and In-VEST Software - Three - Day residential workshop	26-28 Nov 2016	16

<i>Training, event, communication product, etc.</i>	<i>Date</i>	<i>No. of participants</i>
Workshop on Development of Web Portal for National Forest Monitoring Systems (NFMS)	26-27 Oct 2016	8
Write-shop on Sri Lanka's Forest Reference Level Submission to the UNFCCC	26-27 September 2016	
Field Training on NFI Manual Testing	24 Aug 2016	28
Workshop on NFI Manual Testing	22-23 Aug 2016	35
Review of NFMS Geoportal	8 Aug 2016	7
Seminar/Workshop on Ecosystem Services Valuation and Conservation Easements	29 July 2016	51
Seminar/Workshop on Ecosystem Services Valuation and Conservation Easement	29 July 2016	51
Training Workshop to Apply the Principles of Consultation, Participation and Consent in REDD+ and Beyond	29-30 July 2016	18
Training Workshop to apply the principles of consultation, participation and consent in REDD+ and beyond	30 June- 1 July 2016	18
National Workshop for Endorsement of the Non-Carbon Assessment	16 June 2016	21
MCA Software training	14 June 2016	14
Training Workshop on Land Cover Classification & Forest Monitoring Systems in the Context of REDD+	30 May -1 June 2016	11
Workshop on Risks and Benefits Analysis of REDD+ PAMs in Sri Lanka	6 May 2016	24
Training Workshop: Free, Prior and Informed Consent (FPIC) in REDD+	29 March 2016	19
Training Workshop on New Trends of the Forestry Sector in Sri Lanka for the members of the Association of Retired Professional Foresters (ARPF)	4-5 March 2016	23
Brainstorming meeting on the national Conservation Review (1991-1996) and the way forward to cover the remaining forests.	3 March 2016	22
Gender Mainstreaming Workshop	28 January 2016	7
GHG Inventory Training for CCS Staff	7 October 2015	9
Capacity Building Workshop on REDD+ Forest Reference Emission Level/ Forest Reference Level for Sri Lanka	3-4 September 2015	19
Multi Criteria Analysis (MCA) Training	23 rd September 2015	8
Capacity Building on Forest Cover Mapping Using Satellite Images	20 July 2015	18
Land Cover Classification System, Brainstorming Workshop	21 st May 2015	17

Training, event, communication product, etc.	Date	No. of participants
Advanced Training Workshop in GHG Inventory	16-20 March 2015	14
Training Workshop on NFI Parameters and Forest Management Planning to Achieve REDD+ Objectives	11-13 February 2015	42
IP Radio Training Programme in Giradurukotte	23-26 September 2014	19
Training Workshop on “Use of R for Building Allometric Equation”	29 Sept - 2 October 2014	14
Training Workshop on Tree Allometric Equations	20-24 May 2014	14
Training Programme on Green House Gas Inventory for the LULUCF and Agriculture Sectors	17-21 February 2014	20
Training/Brainstorming Workshop on “Remote Sensing Application in Forestry, Ecology and Environmental Issues for Institutions representing the MRV Taskforce	28 January 2014	35

Overseas Training sponsored by the project

Training on remote sensing data interpretation for tropical forest monitoring systems and land use land cover classification – INPE, Belam, Brazil, November 2014.

National Forest Inventory training for senior Forest Department officers at Forest Survey of India, Dehradun, India, January 2015

Regional Workshop cum training on “Moving on From Experimental Approaches to Advancing National Systems for Measuring and Monitoring Forest Degradation Across Asia” in Bangkok, Thailand, June 2015

Allometric equation development training in Kerala Forest Research Institute, Trishur, Kerela, India November, 2015.

National Forest Inventory training at FAO HQ, Rome, Italy, June, 2016

National Forest Inventory training on data entry and processing using software developed by FSI at Forest Survey of India, Dehradun, India, December 2016

Regional training workshop on FRL in Pokhara, Nepal, April 2017

NFI data processing training using CALC software developed by FAO at FAOHQ, Rome, Italy, June 2017

Communication Products

Reports:

National REDD Investment Framework & Action Plan (NRIFAP)

Newspaper Articles:

Policy Needed on Environment: REDD+ is a Plus

Let's Unite to safeguard our forest Resources

Sri Lanka Next Campaign propels country towards sustainable era under blue green economic policy

International Day of Forests; Making the connection between forests and water

To get sand, they 'll even burn down a forest

Let's Unite to Safeguard our forests

NRIFAP newspaper supplement (with messages)

Leaflet & Brochures:

National Forest Monitoring System for REDD+

SL UN-REDD programme

Join with us to protect the forest resources (Sinhala)

Proceedings of the training on allometric equations for tree and forest biomass assessment

Proceedings of the advanced training on the greenhouse gas inventory for agriculture, forest and other lands

NRIFAP handover event brochure (Sinhala/Tamil)

Newspaper Advertisements:

National Tree Planting Month - October (Sinhala/English)

Where did carbon go? (Sinhala/Tamil/English)

Why are Trees so important to us? (Sinhala/Tamil/English)

Shouldn't we look after what is precious to us (Sinhala/Tamil/English)

Our Future is in our hands (Sinhala/Tamil/English)

Forests and Water; making the connection (Sinhala/Tamil/English)

Do we really need trees?(Sinhala/Tamil/English)

Nature's incredible gift that keeps on giving (Sinhala/Tamil/English)

Nurture Forests. Nurture Life.

A United Stand for Forests (Sinhala/Tamil/English)

Re-awakening forests (in Sinhalese)

Renaissance "Punarudaya" Environment Conservation national Programme

Plant a tree and make a forest (Sinhala/Tamil/English)

Value our forest resources – protect our future (Sinhala/Tamil/English)

Conserve Forests. Sustain Life

Protect our forest resources for sustainable future (in Sinhalese)

International Research Symposium

Blue Green Era

Launch of Grow a fighter

Launch of NFMS Geo Portal

NRIFAP event built up paper advertisements (3 into 3 languages)

Videography:

Documentary on REDD+ in Sri Lanka

50 minutes TV talk-show

22 minutes informative video on Value Of Forests

31 one-minute video clips (IDF)

Video backdrops

REDD Posters:

Factors affecting global warming (in Sinhalese)

Global warming

Global warming; why is it happening? (in Sinhalese)

Sri Lanka's REDD preparation (in Sinhalese)

Work done on Sri Lankan REDD+ process (in Sinhalese)

Five Cartoon Posters in Sinhalese

Others:

13 PAM icons

13 pennants depicting PAMS

Press Conference and Press release (NRIFAP release)