

# UN-REDD PROGRAMME



Food and Agriculture  
Organization of the  
United Nations



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## National Programme Annual Report 2016

**SRI LANKA**

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UN-REDD Programme

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January to December 2016

In accordance with the decision of the Policy Board, hard copies of this document will not be printed to minimize the environmental impact of the UN-REDD Programme processes and contribute to climate neutrality. The UN-REDD Programme's meeting documents are available on the internet at: [www.unredd.net](http://www.unredd.net) or [www.un-redd.org](http://www.un-redd.org).

## **1. Annual Report for the UN-REDD National Programmes**

The Annual Report for the National Programmes (NPs) highlights progress over the twelve-month period ending 31 December (1 January-31 December). This progress is reported against the consolidated Annual Work Plan and Budget for 2016, as approved by the National Programme Steering Committee or Executive Board.

The report includes the following sections:

- 1) National Programme Identification;
- 2) Progress Reporting;
- 3) Government and Non-Government Comments;
- 4) Results Matrix;
- 5) Warsaw Framework for REDD+ and Associated UNFCCC Decisions;
- 6) Financial Delivery;
- 7) Adaptive management; and
- 8) Targeted Support.

The lead agency for each National Programme is responsible for coordinating inputs to the Annual Reports, and for ensuring all agency and counterpart perspectives have been collected - in particular government and civil society organizations. The reports are reviewed and vetted by the agency teams, who provide quality assurance and recommendations to the national teams on articulating results and on adjustments to be made. It therefore follows an iterative process which serves to enhance the quality of the reports and enable a meaningful assessment of progress and identification of key lessons regarding knowledge exchange.

The Annual Report for the National Programmes should be submitted to the UN-REDD Programme Secretariat ([un-redd@un-redd.org](mailto:un-redd@un-redd.org)) as per timeline indicated below.

## 1. National Programme Identification

Please identify the National Programme (NP) by completing the information requested below. The Government Counterpart and designated National Programme focal points of the Participating UN Organizations are asked to provide their electronic signatures below, prior to submission to the UN-REDD Secretariat.

|                                    |   |
|------------------------------------|---|
| National Programme Title           | Sri Lanka UN-REDD Programme   |
| Implementing Partners <sup>1</sup> | <ul style="list-style-type: none"> <li>• Forest Department of the Ministry of Mahaweli Development and Environment (Lead implementing partner)</li> <li>• Climate Change Secretariat (CCS) of the Ministry of Mahaweli Development and Environment</li> <li>• Department of Wild Life Conservation (DWLC) of the Ministry of Sustainable Development</li> </ul> |
| Participating Organizations        | FAO (lead agency), UNDP, UNEP   |

| Project Timeline                         |  |                                |                        |
|--|--|--------------------------------|------------------------|
| Programme Duration                       | 4 years and 3 months<br>(with no-cost extension) | Original End Date <sup>2</sup> | 02.04.2016             |
| NPD Signature Date                       | 27.02.2013                                       | No-Cost Extension              | Approved on 31.12.2015 |
| Date of First Fund Transfer <sup>3</sup> | 04.04.2013                                       | Current End Date               | 30.06.2017             |

| Financial Summary (USD) <sup>4</sup> |  |                                 |   |
|--------------------------------------|--|---------------------------------|---|
| UN Agency                            | Approved Programme Budget <sup>5</sup> | Amount Transferred <sup>6</sup> | Cumulative Expenditures up to 31 December 2016 <sup>7</sup> |
| FAO                                  | 2,410,000                              | 2,410,000                       | 1,854,189   |
| UNDP                                 | 915,000                                | 915,000                         | 896,410   |
| UNEP                                 | 413,318                                | 413,318                         | 340,544   |
| Indirect Support Cost (7%)           | 256,682                                | 256,682                         | 192,347   |
| <b>Total</b>                         | <b>4,000,000</b>                       | <b>4,000,000</b>                | <b>3,283,490</b>  |

1 Those organizations either sub-contracted by the Project Management Unit or those organizations officially identified in the National Programme Document (NPD) as responsible for implementing a defined aspect of the project.

2 The original end date as stated in the NPD.

3 As reflected on the MPTF Office Gateway <http://mptf.undp.org>.

4 The financial information reported should include indirect costs, M&E and other associated costs. The information on expenditure is unofficial. Official certified financial information is provided by the HQ of the Participating UN Organizations by 30 April and can be accessed on the MPTF Office GATEWAY (<http://mptf.undp.org/factsheet/fund/CCF00>).

5 The total budget for the entire duration of the Programme as specified in the signed Submission Form and NPD.

6 Amount transferred to the participating UN Organization from the UN-REDD Multi-Partner Trust Fund.

7 The sum of commitments and disbursement

| Signatures from the designated UN organizations <sup>8</sup>                      |   |  | Signature by the Government Counterpart  |
|---|---|--|--|
| FAO   | UNDP  | UNEP   |  |
|  |  |  |   |
| Date and Name of Signatories in Full:   |   |  |  |
| 19 May 2017   | 19 May 2017   | 19 May 2017  | 19 May 2017  |
| <b>Nina Brandstrup</b><br>FAO Representative<br>Sri Lanka and the Maldives        | <b>Lovita Ramguttee</b><br>Deputy Country Director                                | <b>Johan Kieft</b><br>Senior Programme<br>Management Officer                       | <b>Anura Sathurusinghe</b><br>Conservator General of<br>Forests<br>Forest Department |

<sup>8</sup> Each UN organization is to nominate one or more focal points to sign the report. Please refer to the UN-REDD Programme Planning, Monitoring and Reporting Framework document for further guidance.

## 2. Progress Reporting

This section aims to summarize the progress and identify key achievements of the NP during the reporting period. Additionally, the section aims to identify key challenges and solutions/ lessons that could be shared with other countries. These will be used as input to the UN-REDD consolidated annual report so please stick to the word limits.

### 2.1 Achievements

Please provide a description of key achievements made by the NP in relation to the 4 pillars of the Warsaw Framework and how the NP has supported those. [250 words for each pillar]

#### **National REDD+ Strategy or Action Plan**

The Government of Sri Lanka (GoSL) is committed to achieving a sustainable and environmentally aware development pathway that delivers broad-base economic growth while also contributing to the global fight against climate change. As part of this approach, and with support from the UN-REDD Programme the GoSL has been working, since 2012, to build capacity for and develop a comprehensive approach to reducing GHG emissions from the country's forests as well as increasing their capacity for GHG absorption. In 2016, these efforts were concretised with the development of the national REDD+ Strategy (named 'National REDD+ Investment Framework and Action Plan - NRIFAP').

The NRIFAP, a five year USD 99 million investment framework financed from both domestic and international sources, provides a summary of both the work already achieved in Sri Lanka and what actions will be taken in the future. It sets out a clear vision for REDD+ in Sri Lanka and will act as the central guidance document for the GoSL, who will lead its implementation through the Ministry of Mahaweli Development and Environment (MMDE), as well as other stakeholders, as the country moves towards implementing actions on REDD+. The approach taken, while targeting potential results-based payments for GHG emission reductions under the UNFCCC, is also focused on the short and long term benefits to communities within Sri Lanka, supporting community livelihoods and access to the environmental services provided by forests as well as helping to ensure the long-term conservation of Sri Lanka's exceptional forest biodiversity.

The approach detailed within the NRIFAP is fully in line with key national strategies including 'Sri Lanka Next' as well as the commitments the country made in its Nationally Determined Contribution (NDC) under the UNFCCC as well as domestic policy such as the Forest Policy. This includes achievement of critical targets such as the increase in national forest cover to 32%.

The NRIFAP identifies 13 policies and measures (PAMs) within three key policy areas that will be implemented to help achieve Sri Lanka's vision. These PAMs were developed through an extensive process of stake/rights-holder consultation and expert analysis throughout 2016 and represent the key measures to deliver emission reductions and removals as well as to help strengthen environmental and forest management more broadly within Sri Lanka. Many are based on the scaling up of key government actions while others represent new areas of development, such as a forest monitoring system based on inputs from Civil Society Organisations (CSOs) which is supported by Community-Based REDD+ (CBR+), a collaboration between UN-REDD and GEF Small Grants

Programme to encourage local communities-led solutions to drivers of deforestation and forest degradation.

### **Safeguards Information System (SIS)**

Sri Lanka's Safeguards and Safeguards Information System (SIS) will be a central information compilation and reporting function coordinated by the Climate Change Secretariat of the MMDE. The system is based on an extensive assessment process carried out in 2016 which set the goal, scope and structure of the SIS as well as reviewing Sri Lanka's Policies, Laws and Regulations (PLRs) against the REDD+ safeguards laid out in the Cancun Agreement and the potential risks and benefits inherent within each PAM. Based on this, a number of safeguards and indicators were identified for inclusion in the SIS. Information on the presence, updating and application of these will initially be provided by five 'primary' institutions, which hold responsibility for them. Information on environmental and social outcomes (benefits enhanced and risks mitigated) of PAMs implementation will also be collected by those institutions responsible for implementing the PAMs. This includes national and sub-national government institutions, as well as key non-state actors, including community based organisations and forest-users/rural communities. The CCS will then collate and review this information and develop it into a Summary of Information (SoI) for submission to the UNFCCC.

### **National Forest Reference Level**

After the development of the National Forest Reference Level (FRL) Roadmap for Sri Lanka in September 2015 a Technical Working Group (TWG) was formed to assist in the development of the FRL and overview the study on national circumstances. Based on preliminary inputs from the TWG, FAO experts were invited to review the FRL construction. This led to the finalization and submission of Sri Lanka's first FRL report to the UNFCCC in January 2017.

### **National Forest Monitoring System**

For the first time in Sri Lanka, a National Forest Inventory (NFI) was established for continuous terrestrial monitoring of forest resources. Ten field crews were given training for data collection with the support of experts from the Forest Survey of India. FD was also provided with infrastructure facilities for processing of NFI data. NFI manual was completed and translated into the Sinhala language at the request of the field officers.

The NFMS web-portal for Sri Lanka was initiated in 2016. Land use maps for years 2000, 2005, 2010 and 2015 were produced by satellite imagery interpretation, creating a new set of data on change in land use over time. Several other thematic layers including soil types and agro-ecological regions were incorporated into the NFMS portal. The forest cover map of 2000, prepared by the FD, was taken as the base for future forest cover monitoring in the country. Training on remote sensing was provided to the FD and other stakeholder departments for mapping purposes. Based on this, FD started to prepare the 2015 forestry map for Sri Lanka. Software coding for the portal took place during the 2<sup>nd</sup> and 3<sup>rd</sup> quarter while thematic data modification and capacity building took place throughout the year involving stakeholder departments.

## 2.2 Challenges and solutions

Please provide a summary of the challenges faced and solutions put in place to address them. These could be of any nature, operational, good procedure, unsuccessful process that other countries could benefit from. [150 words]

### **Support the development of a REDD+ proposal for the GCF at the same time as finalizing the NRIFAP**

With the transition from the readiness to the implementation phase, raising investments became one of the top priorities for the GoSL in 2016. While the UN-REDD Programme mandate is clearly to support the country to complete its readiness activities, the changes of priorities led to the UN-REDD PMU being asked to provide extensive support to the GoSL for development of investment proposals and interaction with potential investors, particularly with respect to a proposal to the GCF for NRIFAP implementation. The proposal was intended to build specifically on the NRIFAP, which was being finalised in parallel. This led to occasional duplication of work and uncertainty in prioritisation. From the perspective of the UN-REDD Programme, the NRIFAP itself should clearly remain the key objective. We recommend that this unexpected role should be acknowledged in other/future national programmes in order to plan accordingly. While it is a vital function from the perspective of partner countries and provides an excellent exit and sustainability strategy for UN-REDD National Programmes, the development of GCF projects requires substantial dedicated technical support, which cannot be expected to be provided by the PMU without allocation of specific additional resources by the Accredited Entity.

### Changes in Regional Technical Advisory (RTA) team

Changes in regional level UN-REDD personnel, and particularly the delays in replacements being appointed, led to lack of clarity about the support that was available. Regional advisors have been a key part of the management arrangements of the Sri Lanka UN-REDD Programme, and are particularly important when agencies do not have in-country presence. We recommend that future changes of RTA should be communicated to the UN-REDD PMU well in advance to allow a smooth transition, and to allow for an effective handover period.

### 3. Government & Non-Government Comments

This section provides the opportunity to capture government and civil society perspectives and provide additional or complementary information.

#### 3.1 Government Comments

Government counterparts to provide their perspective and additional complementary information not included in the overall progress assessment. [500 words]

During the year 2016, Sri Lanka UN-REDD Programme showed a significant progress. Almost all targets and outcomes/outputs of the readiness program were achieved. Preparation of National REDD+ Strategy/Action Plan (NRIFAP) as a document in the form of an investment proposal is a commendable achievement. The Stakeholder consultation process followed throughout the preparatory phase has contributed much to the success of this achievement. The effort by the PMU to obtain active participation of all stakeholders in this process is worth to be noted here. Completion of National Forest Monitoring System (NFMS), including design of web portal is another important outcome of the programme. The necessity of a technically sound and user friendly monitoring system was a long awaited necessity for the proper monitoring of the forest cover in Sri Lanka. Completion of the Forest Reference Level (FRL) is another important target to be mentioned. Development of Safeguard Information System (SIS) was also initiated during the year.

Communication activities also showed a commendable improvement although there were some delays in achieving targets in previous years. Delay in appointing Regional Technical Advisor by UNEP had an impact on fund disbursement during the latter part of the year.

Capacity building activities, particularly in the area of forest monitoring, were completed successfully.

As in the previous years, the PMU activities were well planned and organized. Monitoring and supervision was very good. It had continued its relationship with all other stakeholders including government institutions, NGOs, Private sector as expected and it was key to the success of all the achievements of the project.

#### 3.2 Non-Government Comments

Civil society stakeholders to provide their perspective and additional complementary information (Please request a summary from existing stakeholder committees or platforms). [500 words]

Sri Lankan civil society organizations engaged in the Sri Lanka UN-REDD programme are happy to see the final outcome document. The NRIFAP is now ready for submitting to the government. We are also happy to see our inputs to the strategy making process are very much included in the final strategy. As the CSOs engage in the strategy making process we expect our involvement will be taken serious in the implementation stage too.

The REDD+ CSO Platform initiated by the Sri Lankan UN-REDD programme in 2013 now has been registered as a guaranteed company as the Sri Lanka Climate and Forest Action Network (SLCFAN) in 2015 in order to make it sustainable. It has 52 member organizations by now. SLCFAN began building six regional networks in late 2016, with the financial support of the UNDP under the title "Continuation of the civil society engagement and facilitating to mobilize the community to be

prepared for REDD+ implementation (REDD/ESDR/2016/02)".

Under this project we are building district level forums and bringing them to six regional networks. This project involves identifying the capacity needs of the member organizations, improving proposal writing skills, building regional governance structures and identifying other organizations who can play a role in both implementation of REDD+ PAMs and forest governance. Each region now has a work plan other than the national work plan agreed at the national level. Each region received financial support under the project to implement this action plan.

Eight SLCFAN members were involved in the implementation of the Community based REDD+ projects across Sri Lanka financed under the Global Environmental Facility through UNDP. Some of these members have built more than 50 forest vigilant committees at the grassroots level who will be involved in forest monitoring and reporting.

The Non-Carbon benefits study conducted by the SLCFAN with the support of a team of experts in 2015-16 received highest recognition due to its findings. It showed that Sri Lankan forests with high biodiversity and environmental services are incomparable to the forests in other countries when taking account of its non-carbon benefits. Other than the food, water, non-timber forest products, cleaning of air, our forests are home to hundreds of species. These forests also have cultural, spiritual values that cannot be interpreted in monetary terms. These aspects are already included in the thirteen PAMs chosen by the REDD+ multi-stakeholder platform. We are happy to be part of this process by making this study.

We are happy that the Sri Lanka UN-REDD programme continuously engaged SLCFAN in its discussions, capacity building and governance structure. This way we have been able to bring civil society and community voice into the strategy making process which is a very important aspect in the REDD+ strategy. Further to ensuring the social and environmental safeguards, CSOs are highly capable in engaging future FPIC and grievance processes. We thank Sri Lanka UN-REDD Programme Management Unit, Forest Department, Ministry of Environment, UNDP, UNEP and FAO for building this highly consultative process during this strategy making process.

Due to this nature, SLCFAN membership has high expectation during the upcoming implementation process. They hope that CSOs will have an opportunity during the implementation of the projects too.

During the last year SLCFAN representatives joined the Sri Lanka UN-REDD Programme Steering Committee meetings and the REDD+ Advisory and Coordination Board (RACB) meetings. We expect to continue our involvement in these decision making levels in the future. I hope Sri Lanka UN-REDD Programme will be successful in raising necessary financial support both at the national and international level.

Sri Lanka as an island nation has a deforestation rate that is alarming. Therefore this strategy needs urgent high-level political recognition. SLCFAN hope that the political leadership in Sri Lanka will give its highest priority to this strategy.

Finally, I thank staff of the UN-REDD Programme Management Unit for involving SLCFAN members at all levels in a very friendly manner.

Hemantha Withanage  
Chairperson, SLCFAN/ REDD CSO platform



#### 4. Results Matrix

The results matrix aims to measure progress made in the reporting year against annual targets for outputs indicated in the annual work plan for the year. If the log frame has been amended following a mid-term review, this should be mentioned above the output table. For this section please provide:

- For each outcome, please provide the outcome title. The intention is to report whether the programme is on track towards meeting its target, not to assess if target has been met. Based on the previous annual report, please tick the box below each outcome and provide a short summary of progress made. If the country has not yet produced an annual report, do not tick any box.
- For each output, please provide the output title and a summary of the progress towards achieving the specific output. Please list each performance indicator, the associated baseline and expected annual target for the output for this reporting year and a short narrative indicating progress against this annual target or deviation from plans.

Please repeat this for all outcomes and outputs of the NP results framework.

| Outcome 1: <b>National Consensus Reached on the National REDD+ Programme</b>   |   |   |   |
|--|---|---|---|
| <input type="checkbox"/> Outcome Achieved;   | <input checked="" type="checkbox"/> On track to achieving this outcome; | <input type="checkbox"/> Expected minor delays<br><input type="checkbox"/> Corrective measures in place | <input type="checkbox"/> Expected significant delays<br><input type="checkbox"/> Corrective measures in place |
| Progress towards Outcome: The National REDD+ Investment Framework and Action Plan (NRIFAP) has been drafted in English. Institutional arrangements and detailed/costed action plans for the 4 REDD+ elements as well as for the 13 PAMs have been developed. |   |   |   |

| Output 1.1: <b>Broad-based, multi-stakeholder national REDD+ advisory group established</b>    |   |  |  |
|--|---|--|--|
| <i>Output Indicators</i>   | <i>Baseline</i>   | <i>Annual Target</i>   | <i>Progress Against Target</i>   |
| Number of state and non-state entities actively supporting and contributing to REDD+ Readiness | No agreed consensus on national REDD+ management arrangements | New structures for the institutional arrangements are in place | The new structures were created and approved by the wider stakeholder audience. For the remaining period of the readiness phase the UN-REDD Steering Committee (SC) was created and the REDD+ Advisory and Coordination Board (RACB), which is a broader group consisting of all key stakeholders, will operate from the |

|  |  |  |  |
|--|--|--|--|
|  |  | <p>3 SC meetings (quarterly) conducted</p> <p>3 RACB Meetings (quarterly) conducted</p> <p>All key stakeholders are fully engaged in the NRIFAP Development process.</p> | <p>remaining period of the readiness phase throughout the implementation phase.</p> <p>3 SC meetings and 3 RACB meetings were conducted during the year.</p> <p>3 Thematic Working Groups were set up to support the NRIFAP development. Ultimately, the NRIFAP was presented to the different stakeholders' forums (Academic and Research Forum and CSO platform) and received their endorsement.</p> |
|--|--|--|--|

Progress towards Output: In late 2015, the former Programme Executive Board evolved into the REDD+ Advisory and Coordination Board (RACB) and a smaller UN-REDD Programme Steering Committee, the latter focused only on management of the UN-REDD Programme. In 2016, the RACB was regularly updated on the progress and key decisions related to the NRIFAP development (3 meetings were conducted). The RACB endorsed the creation of 3 TWGs to support the development of the NRIFAP. The 3 TWGs worked from March to July 2016 to develop the PAMs profiles and action plans. Additional consultations were conducted with the main stakeholders' groups (Academics and CSOs) to refine and finalize the document. The UN-REDD SC met 3 times in 2016 to provide overall guidance to the PMU.

| <b>Output 1.2: National legal, procedural, institutional and capacity needs arrangements for sectors relevant for REDD+ reviewed (i.e., agriculture, forestry and other land uses)</b> |   |                         |                                |
|--|---|-------------------------|--------------------------------|
| <i>Output Indicators</i>   | <i>Baseline</i>   | <i>Annual Target</i>    | <i>Progress Against Target</i> |
| Strategic directions available for effective implementation of REDD+ Programme in Sri Lanka  | <p>Limited capacity and gaps in implementing National REDD+ Readiness programme</p> <p>Work initiated in R-PP preparation</p> <p>Key guiding policies/programmes such as Haritha Lanka Programme, legal documents available for review.</p> <p>Set of national guidelines for REDD+ programme management not available.</p> | N/A (already completed) | N/A (already completed)        |

Progress towards Output: N/A (already completed)

| Output 1.3: <b>National REDD+ Roadmap prepared</b>                    |                 |                         |                                |
|---|-----------------|-------------------------|--------------------------------|
| <i>Output Indicators</i>  | <i>Baseline</i> | <i>Annual Target</i>    | <i>Progress Against Target</i> |
| A well- structured REDD+ Roadmap agreed by all relevant stakeholders; | No roadmap      | N/A (already completed) | N/A (already completed)        |
| Progress towards Output: N/A (already completed)                      |                 |                         |                                |

| Outcome 2: <b>Management Arrangements contributing to the National REDD+ Process</b>   |   |   |   |
|--|---|---|---|
| <input type="checkbox"/> Outcome Achieved;   | <input checked="" type="checkbox"/> On track to achieving this outcome; | <input type="checkbox"/> Expected minor delays<br><input type="checkbox"/> Corrective measures in place | <input type="checkbox"/> Expected significant delays<br><input type="checkbox"/> Corrective measures in place |
| Progress towards Outcome: PMU continued to support the implementation of the NP activities with the assistance of the NPD, RACB members, SC members, TF members and other key stakeholder audiences. |   |   |   |

| Output 2.1: <b>UN-REDD Programme implementation arrangements established</b>  |   |   |  |
|---|---|---|--|
| <i>Output Indicators</i>  | <i>Baseline</i>                           | <i>Annual Target</i>  | <i>Progress Against Target</i>   |
| Level of PMU staffing, and participation status of TFs and TWGs<br>% of annual targets of the programme met<br>Number of multi-stakeholder meetings/workshops held for coordination and capacity building | No PMU, TFs, TWGs or stakeholder networks | Two meetings/workshops for coordination and capacity building are held monthly<br>Continuous operational and management support extended for the technical work | 3 TF meetings<br>Assisted 2 PMU members with the capacity building requirements<br>The technical team was supported throughout the year for all logistical requirements. |
| Progress towards Output: PMU supported the logistics of both the SC and RACB operation. In addition, 3 Thematic Working Groups were set up to support the NRIFAP  |   |   |  |

development.

Meetings were also conducted for different stakeholder forums including SLCFAN, IPs, ARF and the Private Sector. 3 TF meetings were conducted and the members' advice sorted. 2 PMU members were assisted with the capacity building activities on their request.

**Output 2.2: Capacity Building Action Plan developed for REDD+ (linked to Output 1.2)**

| <i>Output Indicators</i>  | <i>Baseline</i>                   | <i>Annual Target</i>  | <i>Progress Against Target</i>   |
|---|-----------------------------------|---|--|
| A REDD+ management structure, institutional arrangements and required competencies for institutions (output 1.2) approved by RPMCC  | Capacity assessment not available | A REDD+ management structure, institutional arrangements and required competencies are identified under output 1.2 and a Capacity Building Action Plan is prepared and endorsed by RACB | Institutional arrangements for REDD+ have been set up with the creation of the RACB and the development of ToRs for the REDD+ Secretariat. A Cabinet Paper describing these institutional arrangements has been drafted.<br><br>A Capacity Building Needs Assessment has been conducted and an Action Plan developed, endorsed by the stakeholders and integrated into the NRIFAP. |
| <p>Progress towards Output: Institutional arrangements for future REDD+ implementation have been set up in early 2016. Subsequently, an assessment of the current functional and technical capacities of key government institutions that are identified as lead coordinators or implementers of REDD+ in Sri Lanka has been finalized and recommendations endorsed to fill capacity gaps. The assessment targeted the agencies identified within the NRIFAP as leading / coordinating each of the four design elements and the PAMs, with the exception of the National Forest Monitoring System (NFMS) and Forest Reference Level (FRL) components which also considered data providers' capacity although to a lower level of intensity.</p> <p>A detailed and costed Capacity Building Action Plan is included in the NRIFAP.</p> |                                   |   |  |

**Outcome 3: Improved Stakeholder Awareness and Effective Engagement**

|   |   |   |   |
|---|---|---|---|
| <input type="checkbox"/> Outcome Achieved;  | <input checked="" type="checkbox"/> On track to achieving this outcome; | <input type="checkbox"/> Expected minor delays<br><input type="checkbox"/> Corrective measures in place | <input type="checkbox"/> Expected significant delays<br><input type="checkbox"/> Corrective measures in place |
| <p>Progress towards Outcome: The NP continued to implement the communications strategy with different stakeholder groups. The government's commitment to REDD+, as the key target stakeholder group, was evidenced with the active participation and the leadership of the Ministry of Mahaweli Development and Environment (MMDE) in</p> |   |   |   |

the SC and the RACB. The incorporation of REDD+ in the MMDE’s ‘Vision for Sri Lanka – towards a blue-green era’ was a good example of this commitment. Awareness raising activities involved stakeholders at the district level. Several articles on REDD+ were published in national newspapers along with original infographics. REDD+ was also presented to the private sector as a means of contributing to the national agenda in relation to the increase of forest coverage. The partnership with IUCN has made significant impacts on delivery and assisted the Forest Department in various aspects of communication activities, including the launch of a green economy work plan on communication, which aims to develop materials targeting different stakeholders on the contribution of forests and REDD+ in Sri Lanka.

| <b>Output 3.1: Strategic communication and consultation plan prepared</b>  |   |   |  |
|--|---|---|--|
| <i>Output Indicators</i>   | <i>Baseline</i>   | <i>Annual Target</i>  | <i>Progress Against Target</i>   |
| Well-structured work plans for Communications Network and activities based on the Communication Strategy and adjusted to national circumstances  | Not REDD+ specific but some communication materials and processes are available | Video documentaries that focus on the linkages between REDD+ and water issues, as well as a green economy in Sri Lanka are produced.<br><br>Key state and non-state stakeholders are fully aware of REDD+ and able to contribute to national REDD+ processes effectively. | A video highlighting the nexus between forests and water was tailor-made for Sri Lanka in three languages and communicated widely via TV and social media.<br><br>Two newsletters highlighting the work being carried out and a leaflet describing REDD+ were designed and distributed among all REDD+ stakeholders. |
| <p>Progress towards Output: The Sri Lanka UN-REDD Programme supported the Government of Sri Lanka during the early stages of its national low-emission development strategy (Sri Lanka Next ‘Blue-Green Era’) launch and REDD+ was included in the Sri Lanka Next national website and video developed to indicate Sri Lanka’s commitment to the outcome of the climate change conference in Paris (COP21). As a side event of this national event, a press conference was held to announce the launch of the national REDD+ strategy development phase on 6 January 2016.</p> <p>A newspaper campaign highlighting the role that forests play in relation to water security was conducted in March to celebrate International Day of Forests (IDF). The Communication Task Force (CTF) consisting of communications experts met five times during the year to provide strategic communication-related direction to the Sri Lanka UN-REDD Programme.</p> <p>The Sri Lanka UN-REDD Programme also supported the Forest Department to link up with the private sector by organising an event in April 2016 which laid the foundation for a Public-Private Partnership (PPP) programme called Grow-A-Fighter that is scheduled to be launched by the government in early 2017. Tri-lingual newspaper awareness campaigns were also carried out highlighting the need to safeguard forests during June (National Environment Week) and October (National Tree Planting Month). The REDD+ Sri Lanka Facebook Page has been maintained and has received over 30,000 ‘likes’.</p> |   |   |  |

| <b>Output 3.2: Stakeholder engagement in REDD+ readiness process enhanced (incl. FPIC, the private sector engagement)</b>  |   |  |  |
|--|---|--|--|
| <i>Output Indicators</i>   | <i>Baseline</i>   | <i>Annual Target</i>   | <i>Progress Against Target</i>   |
| Number and types of stakeholders meaningfully engaging in REDD+ readiness;   | Majority of stakeholders are not aware of REDD+ readiness | <p>FPIC guidelines are drafted, finalized, and training programs are designed and implemented.</p> <p>A grievance mechanism is proposed, tested and operational. Consultations on the design of a grievance mechanism are held.</p> <p>Identified stakeholder forums including indigenous peoples, CSOs, private sector forum, academic forum, local communities, women and other key stakeholders received sufficient capacity building and training on REDD + decision making and are aware of REDD+ and engaged in REDD+ Readiness activities</p> | <p>A consultative process required to carry out stakeholder involvement during PAM implementation was developed based on the FPIC guidelines and Cancun Safeguards principles; All implementing agencies need to carry out these before REDD+ actions are implemented and the CSO network will closely monitor the process and also assist as needed.</p> <p>Multi-stakeholder groups were involved in consultations during the various studies conducted. 3 CSO National Briefings, 3 IP National Briefings and 3 Academic Forum sessions were held; The CSOs registered as SLCFAN were given an assignment to consolidate their activities during the reporting year and it will continue till 1<sup>st</sup> quarter of 2017.</p> |
| <p>Progress towards Output: PMU made every effort to maintain a high level of stakeholder engagement in the REDD+ Strategy development (NRIFAP) process throughout. The state agencies positively and actively contributed towards NRIFAP development and special sessions for CSOs and Academic Forum members were also conducted during the reporting period. Capacity building was provided to key government and CSO counterparts to build a better understanding of what, if and when free, prior and informed consent is required. The emphasis was that free, prior and informed consent, if and when required, is not a separate activity, but builds on different types of stakeholder engagement approaches that have been introduced throughout the programme. This led to the development of two tools that are included in the NRIFAP: flowchart to determine when free, prior and informed consent is required, and a checklist for a gender-responsive stakeholder engagement plan for implementation of PAMs with direct operations on the ground.</p> |   |  |  |

**Outcome 4: National REDD+ Strategy and Implementation Framework**

|   |  |   |   |
|---|--|---|---|
| <input checked="" type="checkbox"/> Outcome Achieved;   | <input type="checkbox"/> On track to achieving this outcome; | <input type="checkbox"/> Expected minor delays<br><input type="checkbox"/> Corrective measures in place | <input type="checkbox"/> Expected significant delays<br><input type="checkbox"/> Corrective measures in place |
| Progress towards Outcome: The development of the REDD+ Strategy in Sri Lanka has been the main focus of the UN-REDD Programme in 2016. Several technical, financial and institutional studies together with meetings of the three Thematic Working Groups have supported the Strategy development process and allowed the Sri Lanka UN-REDD programme to complete the National REDD+ Investment Framework and Action Plan (NRIFAP) i.e. the REDD+ Strategy for Sri Lanka. |  |   |   |

| Output 4.1: Drivers of deforestation and forest degradation, and legal and policy alignment needs identified  |                                       |  |  |
|---|---------------------------------------|--|--|
| <i>Output Indicators</i>  | <i>Baseline</i>                       | <i>Annual Target</i>   | <i>Progress Against Target</i>   |
| A comprehensive National REDD+ Strategy together with implementation plans, and validated with stakeholders   | National REDD+ Strategy not available | An Integrated social, economic & political analysis and implementation framework for addressing drivers are completed.<br><br>Policy recommendations and sectoral action plans are prepared, tested and endorsed by stakeholders and proposed to RACB.<br><br>Policy recommendations are at least partially implemented. | The Sri Lanka UN-REDD programme has completed the NRIFAP and presented it to the RACB and different stakeholders' forums. In addition, the PAM on Forest boundary demarcation has been piloted and recommendations extracted to strengthen the national approach. PAMs were assessed against the current PLRs and gaps identified. |
| <p><b>Progress towards Output:</b> The Sri Lanka UN-REDD programme has completed the NRIFAP and presented it to the RACB and different stakeholders' forums. The NRIFAP is a five-year investment framework financed from both domestic and international sources, represents the culmination of the readiness phase and provides a summary of both the work already achieved in Sri Lanka and what actions will be taken in the future. It sets out a clear vision for REDD+ in Sri Lanka and will act as the central guiding document for the GoSL, who will lead its implementation through the Ministry of Mahaweli Development and Environment, as well as other stakeholders, as the country moves towards implementing actions on REDD+. The approach taken, while targeting potential results-based payments for GHG emission reductions under the UNFCCC, is also focused on the short and long term benefits to communities within Sri Lanka, supporting community livelihoods and access to the environmental services provided by forests as well as helping to ensure the long-term conservation of Sri Lanka's exceptional forest biodiversity.</p> |                                       |  |  |

| Output 4.2: Land tenure and use rights clarified towards the benefit sharing of REDD+ |                 |                      |                                |
|---|-----------------|----------------------|--------------------------------|
| <i>Output Indicators</i>  | <i>Baseline</i> | <i>Annual Target</i> | <i>Progress Against Target</i> |
|   |                 |                      |                                |

|  |  |   |  |
|--|--|---|--|
| A detailed report describing different land tenure patterns in Sri Lanka is available  | Unclear land tenure and land rights in rural areas | Information related to land and forest tenure and use rights compiled.<br>A proposal for clarifying land ownership and related rights is adopted by RACB. | An analysis was conducted with the following results: <ol style="list-style-type: none"> <li>1. An overview of the forest and land use situation in Sri Lanka</li> <li>2. A presentation of the institutional and policy context</li> <li>3. A presentation of tenure related issues in the country.</li> <li>4. An analysis of the tenure considerations related to potential PAMs</li> </ol> |
| <p>Progress towards Output: An analysis of the tenure considerations related to potential PAMs in order to identify the risks and benefits associated with each one has been conducted and endorsed by the stakeholders' groups. Considering other criteria as well, this analysis has guided REDD+ stakeholders in deciding if a particular PAM should be pursued or prioritized in the NRIFAP. In addition, potential strategies have been suggested to minimize the risks and maximize the benefits if a particular PAM were to be implemented.</p> |  |   |  |

| <b>Output 4.3: Options for addressing deforestation and forest degradation at sub-national level identified</b>   |   |  |  |
|---|---|--|--|
| <i>Output Indicators</i>  | <i>Baseline</i>                               | <i>Annual Target</i>   | <i>Progress Against Target</i>   |
| Number of options for addressing drivers of deforestation and forest degradation, stakeholder engagement, technical approaches at sub-national level identified   | Some REDD+ relevant lessons already generated | At least 70% of identified options are considered in the preparation of the National REDD+ Strategy (Output 4.5) | A total of 24 Policies and 39 Measures were identified initially as potential PAMs for the NRIFAP. A prioritisation process followed up by extensive stakeholders' consultations led to the selection of 13 PAMs categorised under three priority policy areas: (i) Forest, Wildlife and Watershed, (ii) Land Use Planning, and (iii) Other Forested Lands |
| <p>Progress towards Output: 13 REDD+ PAMs categorised under the three priority policy areas (i) Forest, Wildlife and Watershed, (ii) Land Use Planning and (iii) Other Forested Lands have been discussed, developed and included in the NRIFAP. For each PAM, summaries of information have been developed with the support of the TWGs and provide all technical and institutional details related to the PAMs. For each PAM, Action Plans provide details on the specific actions under each PAMs. Actions are</p> |   |  |  |

listed and linked with implementing agencies. Total costs of each action and sharing of the funding sources (both domestic and external) show how the PAMs have been integrated in the national budget. A semester-based timeline anticipates the duration of each action.

Under this output 400 km forest boundary demarcation was planned and initiated under a LoA with Survey Department of Sri Lanka.

REDD+ awareness programme for District CSOs continued and 9 sessions were conducted during the reporting period. In addition, 2 sessions for District level government officials were also conducted. NP also assisted in revision of management plans of 11 national Parks of the DWC. A non-carbon assessment of Forests was conducted and the results were shared with key stakeholders. A three – day residential training programme on INVEST software suite was conducted for 34 Academic & Government professionals involved in ecosystems services valuation. A national workshop to share the latest information on climate change impacts was organised. Posters of district level drivers of Deforestation and Degradation in Sinhala, Tamil & English were developed and printed. CBR+ projects are providing promising results for incorporation in the NRIFAP and further replication during implementation phase.

Lack of forest boundary demarcation was identified as one of the major cause of deforestation and degradation. MRV task force decided to include this as an activity under this output as a pilot exercise to help government in declaration of forest under respective category.

**Output 4.4: Options for equitable and transparent benefit sharing identified**

| <i>Output Indicators</i>   | <i>Baseline</i>                          | <i>Annual Target</i>  | <i>Progress Against Target</i>  |
|--|--|---|---|
| A set of policy recommendations on benefit sharing mechanism is approved by the RPMCC) | Some relevant lessons from other sectors | An analysis of possible REDD+ fund management arrangement is completed.<br><br>Consultation on implementation arrangement for fund management & benefit sharing is completed. | REDD+ fund management arrangements have been decided and a detailed budget has been prepared for the NRIFAP. Implementing institutions for both the PAMs and the REDD+ elements have been identified and clear budgets allocated. |

Progress towards Output: Sri Lanka has designed and consulted on a financial management mechanism to receive, pool and disburse REDD+ funding. This design takes into account the governmental preferences and rules on public financial management. In addition, it has considered the criteria likely to be set up by the international funding sources. This detailed financial mechanism is described in the NRIFAP.

| Output 4.5: <b>National REDD+ Strategy developed</b>   |   |  |  |
|--|---|--|--|
| <i>Output Indicators</i>   | <i>Baseline</i>   | <i>Annual Target</i>   | <i>Progress Against Target</i>   |
| Officially endorsed National REDD+ strategy available  | No REDD+ roadmap, strategic actions identified during RPP preparation | National REDD+ Strategy is fully elaborated.<br><br>The Strategy is officially endorsed and implementation plans agreed. | NRIFAP finalised and presented to the RACB and different stakeholders' forums. |
| Progress towards Output: The NRIFAP has been finalised. It is a five year investment framework financed from both domestic and international sources and provides a summary of both the work already achieved in Sri Lanka and what actions will be taken in the future. |   |  |  |

| Outcome 5: <b>Monitoring and MRV Results for REDD+ Activities Provided</b>   |   |   |   |
|--|---|---|---|
| <input type="checkbox"/> Outcome Achieved;   | <input checked="" type="checkbox"/> On track to achieving this outcome; | <input type="checkbox"/> Expected minor delays<br><br><input type="checkbox"/> Corrective measures in place | <input type="checkbox"/> Expected significant delays<br><br><input type="checkbox"/> Corrective measures in place |
| Progress towards Outcome: National Forest Inventory (NFI) design and manual have been completed with technical support (South-south cooperation) from Forest Survey of India (FSI). The NFMS web-portal was established with four layers of historical information on land and forest cover (2000, 2005, 2010 and 2015) and other layers of relevant information and was under finalisation for launch. Capacity of government institutions was built for Greenhouse Gas Inventory (GHG-I) through the MRV working group. Forest Reference Level (FRL) working group recommended key decisions for FRL construction and a FRL was completed, ready for submission to UNFCCC. Key safeguards and indicators were identified for inclusion in Sri Lanka's Safeguards Information System (SIS). |   |   |   |

| Output 5.1: <b>MRV process initiated</b>  |                              |  |  |
|---|------------------------------|--|--|
| <i>Output Indicators</i>  | <i>Baseline</i>              | <i>Annual Target</i>   | <i>Progress Against Target</i>   |
| A set of technical guidelines/instruction manuals available   | No MRV Baseline is available | QA/ QC procedures are operational, and guidelines/instruction manuals are available. | Guidelines and manuals for land use mapping and NFI are available and QA/QC procedures for data collection are in operation. |
| Progress towards Output: During 2016, land use and land cover mapping for the years 2005 and 2015 were completed and GIS based mapping and quality checking guidelines were prepared by the Survey Department. Land use and land cover maps of years 1985, 2000, 2005, 2010 and 2015 are now all available. GIS and satellite image |                              |  |  |

interpretation approach and QC/QA procedures were developed and adopted by the Forest Department while making year the forest cover map of Sri Lanka for 2015, using forest definitions established by FD. Trainings were given on Land Cover Classification Systems (LCCS), National Forest Inventory (NFI), National Forest Monitoring Systems (NFMS) and Forest Reference Level (FRL). Guidelines and methodological outputs from all trainings were produced in the form of workshop proceedings and a road map for FRL construction.

| <b>Output 5.2: National forest monitoring systems established</b>  |  |   |  |
|--|--|---|--|
| <i>Output Indicators</i>   | <i>Baseline</i>                                    | <i>Annual Target</i>  | <i>Progress Against Target</i>   |
| National forest monitoring system available<br>A set of pre-tested technical guidelines/instruction manuals available  | No Satellite Forest Monitoring System in Sri Lanka | Existing satellite imageries for Sri Lanka are analysed.<br><br>A reference forest map is developed.<br>The national forest monitoring system is operational. | Existing LANDSAT satellite imagery were analysed to produce land use land cover maps of Sri Lanka for the years 2005 and 2015 in this year. Forest Reference map was constructed for the year 2000 using available 1999 forest cover map and calibrating Hansen data of year 2000. |
| Progress towards Output: All available data files (Forest cover maps, Land Use Land Cover maps, agro-ecological map, soil map, environmental protection areas, administrative boundaries (country, province, and districts), rail, road, river, contour map to prepare digital elevation model, NFI grids) were processed and harmonized to be utilized in SLMS development. During 2016, a two-day training programme was held for FD and SD on operational aspects of the NFMS web portal, especially on uploading new data. |  |   |  |

| <b>Output 5.3: National forest inventory designed</b>   |   |   |   |
|---|---|---|---|
| <i>Output Indicators</i>  | <i>Baseline</i>   | <i>Annual Target</i>  | <i>Progress Against Target</i>  |
| National Forestry Inventory is designed, field inventory manuals are developed and adequate technical tools are developed to assess emission factors  | No existing national forest inventory to provide emission factors | A forest inventory database is developed.<br>The database is populated by all available forest inventory data.<br>10 field trainings are conducted.<br><br>The National Forest Inventory is designed and adopted. | Historical forest inventory database, NFI manual and NFI data processing software were developed. More than 10 field trainings were provided.<br><br>National Forest Inventory designed and adopted |
| Progress towards Output: NFI design with technical advisory service from Forest Survey of India (FSI) started in 2016. All historical forest inventories were studied and documented. Trainings and workshops were completed including NFI fieldwork training and testing of NFI manual, for FD and DWC field officers. National Forest Inventory |   |   |   |

design and field manual have been prepared, reviewed and adopted by FD. NFI manual has been prepared in both Sinhala and English.

| <b>Output 5.4: National circumstances considered for REL/RL</b>  |  |  |   |
|--|--|--|---|
| <i>Output Indicators</i>   | <i>Baseline</i>  | <i>Annual Target</i>   | <i>Progress Against Target</i>                    |
| Assessment report on national circumstances addressing different scenarios available for future implementation   | National circumstances analysis is not adapted for REDD+ | Different socio-economic scenarios are tested.<br>The national circumstances are assessed. | A study on national circumstances was undertaken. |
| Progress towards Output: National Circumstance study was finalized and findings of study were used in FRL construction. The study provided data on forest cover change under different scenarios depending on industrial development and population increase using statistical modeling process. |  |  |   |

| <b>Output 5.5: National REL/RL tested</b>   |                              |                                |   |
|---|------------------------------|--------------------------------|---|
| <i>Output Indicators</i>  | <i>Baseline</i>              | <i>Annual Target</i>           | <i>Progress Against Target</i>  |
| Nationally agreed REL/RL available  | No REL/RL exist in Sri Lanka | Different RELs/RLs are tested. | Sri Lanka FRL constructed and report submitted for review to FRL TWG and government counterparts. |
| Progress towards Output: Forest Reference Level of Sri Lanka for the period 2000 to 2010 has been constructed using the historical national forest cover map of year 1999 and Hansen Global data of years 2000 and 2010. Year 1999 forest cover map was utilized to calibrate Hensen data of year 2000 to produce a forest reference map. Different scenarios of FRL were tested by FAO experts and National FRL TWG before finalizing FRL. |                              |                                |   |

| <b>Output 5.6: Framework for social and environmental risk mitigation and potential multiple benefit enhancement designed</b> |                              |   |  |
|---|------------------------------|---|--|
| <i>Output Indicators</i>  | <i>Baseline</i>              | <i>Annual Target</i>  | <i>Progress Against Target</i>   |
| A set of pre-tested, nationally appropriate safeguards are endorsed   | No REDD+ safeguards in place | Nationally appropriate safeguards and indicators are identified | The baseline analysis, structure and institutional arrangements for the SIS in |

|  |  |  |                                  |
|--|--|--|----------------------------------|
| <p>and used by the national REDD+ programme.</p>   |  | <p>National REDD+ safeguards and indicators are tested and submitted for official endorsement</p> <p>The safeguards information is made available in the central database</p> <p>A research symposium on forest ecosystems valuation conducted</p> | <p>Sri Lanka were identified</p> |
| <p>Progress towards Output: . An extensive assessment process was carried out in 2016 which set the goal and scope of the SIS as well as reviewing Sri Lanka's policies, laws and regulations (PLRs) against the REDD+ safeguards laid out in the Cancun Agreement and the potential risks and benefits inherent within each PAM. Based on this a number of safeguards and indicators were identified for inclusion in the SIS.</p> <p>A SIS structure was also developed for reporting safeguards information to UNFCCC. PLR gaps were assessed, including whether they contributed to safeguards being addressed and respected, and recommendations were provided.</p> |  |  |                                  |

## 5. Warsaw Framework for REDD+ and Associated UNFCCC Decisions

This section aims to provide insight and to support a thought process into how countries are progressing against the framework of the convention, namely: 5.1) a National REDD+ Strategy or Action Plan; 5.2) a Safeguards and Safeguards Information System; 5.3) a National Forest Reference Emission Level/National Forest Reference Level; and 5.4.) a National Forest Monitoring System. Only complete the sections that apply to the priorities identified for the country and mark as N/A any criteria that do not apply to the context of the country.

### 5.1 National Strategy or Action Plan

|   |
|---|
| Supported by (select all that apply and provide name of other source): <input checked="" type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable  |
| Please provide a brief description of the progress being made in developing a National REDD+ Strategy or Action Plan (NS/AP) as well as the source of the support provided in this regard (100 words):  |
| The National REDD+ Investment Framework and Action Plan (NRIFAP) i.e. the REDD+ Strategy for Sri Lanka has been finalised and validated by the RACB and different stakeholders' forums. The NRIFAP is a five-year investment framework financed from both domestic and international sources, represents the culmination of the readiness phase and provides a summary of both the work already achieved in Sri Lanka and what actions will be taken in the future. It sets out a clear vision for REDD+ in Sri Lanka and will act as the central guidance document for the GoSL, who will lead its implementation through the Ministry of Mahaweli Development and Environment, as well as other stakeholders, as the country moves towards implementing actions on REDD+. |

| Indicator  | ✓ | Qualifier (select all that apply)                                    | Please provide a short narrative describing the reason for selection as well as means/source of verification   |
|--|---|--|--|
| Does the country have a National Strategy or Action Plan (NS/AP) to achieve REDD+? |   | Not yet initiated  | The English version of the NRIFAP was completed in December 2016. The document is now being translated into Sinhala and Tamil for a one-month public comments period in early 2017. It will then be formatted and printed for an official hand-over to and adoption by the GoSL in April 2017. |
|  |   | Under design   |  |
|  | ✓ | Drafted, under deliberation  |  |
|  |   | Adopted  |  |
|  |   | Link to the NS/AP provided on the UNFCCC REDD+ Web Platform Info Hub |  |
|  |   | Implementation in early stages                                       |  |
|  |   | Full implementation of NS/AP   |  |
| Degree of completeness   | ✓ | The NS/AP identifies, assesses and prioritises the direct and        | The D&D study was completed in 2014 and a fully edited version   |

|  |   |  |   |
|--|---|--|---|
| of national REDD+ strategies and/or action plans.  |   | underlying drivers of deforestation and forest degradation, as well as the barriers to the "plus" (+) <sup>9</sup> activities on the basis of robust analyses.   | was made available in early 2015. Full report is available on the web site. District-level CSO awareness programmes organized through the Divisional Forest office assisted in identification of district-level drivers, with participation of CSOs.  |
|  | ✓ | The NS/AP proposes a coherent and co-ordinated set of policies and measures (PAMs) for REDD+ that are proportionate to the drivers & barriers, results-oriented and feasible.  | A 6 months' consultative process was undertaken to define, prioritize and categorize the PAMs and PAM priority areas  |
|  | ✓ | The NS/AP relates to the scope and scale of the FREL/FRL, taking into account national circumstances.  | The NRIFAP and FRL are both at national scale. The FRL includes deforestation and enhancement only. The NRIFAP includes PAMs that address these activities, but also forest degradation. Initial results of these PAMs will contribute to future improvement of the FRL.  |
|  | ✓ | The NS/AP defines the institutional arrangements for REDD+ implementation, including governance measures, participatory oversight and inter-sectoral coordination.   | Institutional arrangements were endorsed by the PEB members at the 8 <sup>th</sup> PEB meeting  |
| Degree to which the NS/AP incorporates principles of social inclusion and gender equality. | ✓ | The NS/AP is developed through a multi-stakeholder, gender-responsive and participatory consultation and dialogue process.   | Six stakeholder groups (GOSL, CSOs, Pvt sector, IPs, academics and FDCs) have been consulted so far to support strategy development work<br>A study was initiated to seek possibilities of including gender considerations in the forestry sector   |
|  | ✓ | The proposed policies and measures for REDD+ integrate gender-responsive actions.  | A study, with Targeted Support, was initiated to identify key entry points for policy integration in REDD+, as well as to build the capacity of CSOs to embed relevant gender lessons from the field. A checklist for a gender-responsive stakeholder engagement plan, incorporating the principles of free, prior and informed consent, was developed for implementation of PAMs with direct operations on the ground. |
|  | ✓ | The proposed policies and measures for REDD+ consider the realization of land and resource tenure rights (when relevant), as well as the development priorities of indigenous peoples and local communities as well as their development priorities. | A study was conducted to analyze land tenure implications of the potential PAMs. The results of the study were used in the PAMs prioritisation process.   |

<sup>9</sup> Plus (+) activities within the context of REDD+ refer to conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks

|   |   |  |   |
|---|---|--|---|
| Degree of anchoring of the NS/AP in the national development policy and institutional fabric. | ✓ | There is effective inter-ministerial coordination for REDD+ action.  | The TF on NP&S and the proposed RACB structure have already brought the different state agencies to a common platform.  |
|   |   | Endorsement of the NS/AP has been obtained at a high political level, beyond the agency or ministry that led the REDD+ readiness process.        | The English version of the NRIFAP has been presented to the main stakeholders' forums (Academic and Research Forum, Civil Society Platform, Private Sector Forum) and to the RACB. However, the document will undergo a one-month public review before finalization and official endorsement by the GoSL in April 2017. |
|   | ✓ | REDD+ actions or targets are embedded in the national plan or policy for sustainable development.  | 'Punarudaya' the 3 year programme of the Ministry of Mahaweli Development and Environment has captured some REDD+ actions.  |
|   | ✓ | There is evidence that ministries/agencies outside the forest and environment sectors are committed to implementing REDD+ policies and measures. | Other ministries and agencies have provided substantive inputs in the strategy development process  |
|   | ✓ | Financing arrangements to start implementing the NS/AP (or to channel results-based finance) are designed.                                       | Full report is available on the website.  |

## 5.2 Safeguard Information System

Supported by (select all that apply and provide name of other source):  National Programme;  Targeted Support;  Other Source;  Not Applicable

Please provide a brief description of the progress being made in developing a Safeguard Information System (SIS) as well as the source of the support provided in this regard (100 words):

An extensive assessment process was carried out in 2016 which set the goal and scope of the SIS as well as reviewing Sri Lanka policies, laws and regulations (PLRs) against the REDD+ safeguards laid out in the Cancun agreement and the potential risks and benefits inherent within each PAM. Based on this a number of safeguards and indicators were identified for inclusion in the SIS. A SIS structure was also developed and the focus for 2017 will be to build capacities of identified institutions responsible for the SIS management.

| Indicator   | ✓ | Descriptor (select all that apply)   | Please provide a short narrative describing the reason for selection as well as means/source of verification.  |
|---|---|--|--|
| Does the country have a Safeguard Information System (SIS) that provides information on how the Cancun safeguards are being addressed and respected throughout implementation of REDD+ actions? | ✓ | No   | Five key steps were taken as part of Sri Lanka's approach to REDD+ safeguards. The first activity was to determine the scope and goals of the safeguards approach. The second step was to align the Cancun safeguards to Sri Lanka's national circumstances. This involved developing a method to clarify the Cancun safeguards in accordance with Sri Lanka's national circumstances; thereafter, a list of national safeguards criteria was produced. Thirdly, the risks and benefits associated with these policies and measures were determined through a two-day stakeholder workshop. Thereafter, an assessment took place of all existing policies, laws, and regulations, as well as the relevant institutional framework, as they relate to safeguards. Lastly, the best options for designing a safeguards information system were determined.<br><br>Three documents summarise these progress:<br><ol style="list-style-type: none"> <li>1. Benefits Risk Assessment of REDD+ Policies and Measures in Sri Lanka</li> <li>2. Policies, Legislations and Regulations (PLR) Matrix</li> </ol> |
|   | ✓ | SIS objectives determined  |  |
|   | ✓ | Safeguard information needs and structure determined.  |  |
|   | ✓ | Existing information systems and sources assessed.   |  |
|   |   | The SIS is designed, building on existing, together with any novel, information systems and sources clearly articulated in a national government-endorsed document.            |  |
|   |   | The SIS is functional, building on existing, together with any novel, information systems and sources that are clearly articulated in a national government-endorsed document. |  |
|   |   | Summary of information on REDD+ safeguards, informed by the SIS, has been submitted to UNFCCC.   |  |

|   |   |   | 3. National approach to REDD+ Safeguards in Sri Lanka |
|---|---|---|---|
| Degree of completeness of the design of a country approach to address the social and environmental safeguards for REDD+ | ✓ | Aligns with the NS/AP, covering the social and environmental benefits and risks of the policies & measures for REDD+ being considered by the countries. | [N/A]   |
|   | ✓ | Defines specific policies, laws and regulations (PLRs), as well as other measures, to address the identified benefits and risks.                        | [N/A ]  |
|   | ✓ | Have institutional arrangements and/or capacities to implement those PLRs and to monitor the REDD+ safeguards.  | [N/A ]  |
|   | ? | Transparently provides information on how safeguards are respected and addressed.   | [N/A ]  |

### 5.3 Forest Reference Emission Level / Forest Reference Level

Supported by (select all that apply and provide name of other source):  National Programme;  Targeted Support;  Other Source;  Not Applicable

Please provide a brief description of the progress being made in developing a Forest Reference Emission Level / Forest Reference Level (FREL/FRL) as well as the source of the support provided in this regard (100 words):

In 2016, three FRL TWG meetings were held to discuss FRL construction and report preparation guidelines. With the active involvement of national experts and FRL TWG, Sri Lanka was able to construct its FRL by December 2016. Major decision on utilization of nationally prepared forest cover map and global land cover data (Hansen product) were taken during expert meetings.

| Indicator                               | ✓ | Descriptor (select all that apply)  | Please provide a short narrative describing the reason for selection as well as means/source of verification   |
|---|---|---|--|
| Has the country established a FREL/FRL? |   | Not yet initiated   | FRL capacity building was continuously organized through consultative process at various stages of FRL construction. FRL construction was completed in December 2016.  |
|   |   | Capacity building phase   |  |
|   |   | Preliminary construction phase  |  |
|   |   | Advanced <sup>10</sup> construction phase   |  |
|   | ✓ | Submission drafted  |  |
|   |   | Submitted to the UNFCCC   |  |
| Robustness of FREL/FRL submissions      | ✓ | Submission is transparent, complete, consistent and as much as possible accurate and allows reconstruction of the submitted FREL/FRL. | All data and referenced inputs used for FRL construction were provided to TA team to re-construct FRL.   |
|   | ✓ | Includes pools and gases, and REDD+ activities (Scope) and justification for omitting significant pools and/or activities.            | Includes two activities (deforestation and enhancement), three carbon pools (above ground biomass, below ground biomass and forest litter). Soil organic carbon and dead wood were not included due to non-availability of consistent national data. |
|   | ✓ | Justifies where the submission is inconsistent with previous versions of GHG inventory.   | Yes, justification about inconsistency with national communication and FRL was provided in detail.   |
|   | ✓ | Includes details of the forest definition used and national   | Yes, forest definition used in this FRL is consistent with national forest   |

<sup>10</sup> FREL/FRL elements defined or at an advanced stage (scope, scale, forest definition, methodology and data compilation).

|  |   |  |                          |
|--|---|--|--------------------------|
|  |   | circumstances.   | definition.              |
|  | ✓ | Defines the geographic area covered by FREL/FRL (scale). | National FRL constructed |

## 5.4 National Forest Monitoring System

Supported by (select all that apply and provide name of other source):  National Programme;  Targeted Support;  Other Source;  Not Applicable

Please provide a brief description of the progress being made in developing a National Forest Monitoring System (NFMS) as well as the source of the support provided in this regard (100 words):

For the first time in Sri Lanka, a National Forest Inventory (NFI) was established for continuous terrestrial monitoring of forest resources. NFI manual was completed and translated into the Sinhala language at the request of the field officers. The NFMS web-portal for Sri Lanka was initiated in 2016. Land use maps were produced by satellite imagery interpretation, creating a new set of data on change in land use over time. FD started to prepare the 2015 forest cover map for Sri Lanka. Software coding for the web portal took place during the 2<sup>nd</sup> and 3<sup>rd</sup> quarter while thematic data modification and capacity building took place throughout the year involving stakeholder departments.

| Indicator   | ✓ | Descriptor (select all that apply)   | Please provide a short narrative describing the reason for selection as well as means of verification  |
|---|---|--|--|
| Has the country established a NFMS?                               |   | No   | NFMS portal is capable of generating preliminary information for MRV. It has been initialized in forest department and NFI design is incorporated. It is in advance construction phase and expected to be operational in March 2017. |
|   |   | NFMS capacity building phase   |  |
|   |   | Preliminary construction phase   |  |
|   | ✓ | Advanced <sup>11</sup> construction phase  |  |
|   | ✓ | NFMS generating preliminary information for monitoring and MRV   |  |
|   |   | NFMS institutionalized and generating REDD+ monitoring and MRV (satellite land monitoring system, national forest inventory, greenhouse gas inventory)                     |  |
| Degree of completeness of the NFMS in UN-REDD supported countries | ✓ | NFMS includes a Satellite Land Monitoring System (SLMS)  | Yes  |
|   | ✓ | NFMS includes a National Forest Inventory (NFI)  | Yes  |
|   | ✓ | NFMS includes a National GHG Inventory (GHGi)  | it includes data required for GHG inventory  |
|   | ✓ | The NFMS is suitable for estimating anthropogenic forest-related greenhouse gas emissions by sources, and removals by sinks, forest carbon stocks, and forest-area changes | Partially, it is capable of providing data for estimating forest area change with respect to various stratification levels of agro-ecological zones and soil type.   |

<sup>11</sup> NFMS elements at an advanced stage (satellite land monitoring system, national forest inventory, greenhouse gas inventory).

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|  |   | resulting from the implementation of REDD+ activities;   |   |
|  | ✓ | The NFMS is consistent with Intergovernmental Panel on Climate Change (IPCC) guidance and guidelines;  | It has been developed following IPCC guidelines.  |
|  | ✓ | The NFMS enables the assessment of different types of forest in the country, including natural forest. | The SLMS has temporal forest cover maps which can be utilized for assessment of forest types. |

## 6. Financial Delivery

In the table below, please provide information on expenditure for 2016 and the planned and anticipated expenditure for the year 2017. These are to be provided against the Annual Work Plan (AWP) for 2017 as approved by the PEB/NSC, meaning before any budget revisions were done. Anticipated expenditure by 31 December 2017 should indicate what would be realistically expended at the end of the year, and therefore provide a measure of deviation against the AWP.

| Programme Outcome   | UN Organization | Annual Expenditure for 2016 (as of 31 Dec 2016) | Planned Expenditure for 2017 | Final Expenditure for 2016 |
|---|-----------------|---|------------------------------|----------------------------|
| Outcome 1: National Consensus Reached on the National REDD+ Programme         | FAO             | -   |                              | -                          |
|   | UNDP            | 21,706  |                              | 25,007                     |
|   | UNEP            | -   |                              | -                          |
| Sub-total   |                 | 21,706  | -                            | 25,007                     |
| Outcome 2: Management Arrangements contributing to the National REDD+ Process | FAO             | 219,196   | 170,000                      | 178,332                    |
|   | UNDP            | 40,743  |                              | 39,300                     |
|   | UNEP            |   |                              | -                          |
| Sub-total   |                 | 259,939   | 170,000                      | 217,632                    |
| Outcome 3: Improved Stakeholder Awareness and Effective Engagement            | FAO             |   |                              | -                          |
|   | UNDP            | 31,933  |                              | 47,000                     |
|   | UNEP            | 209,565   | 60,000                       | 185,000                    |
| Sub-total   |                 | 241,498   | 60,000                       | 232,000                    |
| Outcome 4: National REDD+ Strategy and Implementation Framework               | FAO             | 225,351   | 55,000                       | 233,443                    |
|   | UNDP            | 166,196   | 32,300                       | 198,000                    |
|   | UNEP            | -   | -                            | -                          |
| Sub-total   |                 | 391,547   | 87,300                       | 431,443                    |
| Outcome 5: Monitoring and MRV Results for REDD+ Activities Provided           | FAO             | 376,666   | 305,000                      | 686,483                    |
|   | UNDP            | 67,510  | -                            | 47,000                     |
|   | UNEP            | -   | 22,000                       | -                          |
| Sub-total   |                 | 444,176   | 327,000                      | 733,483                    |
| Indirect Support Costs (7% GMS)   | FAO             | 57,472  | 37,100                       | 76,878                     |
|   | UNDP            | 23,765  | 2,261                        | 30,576                     |
|   | UNEP            | -   | 5,740                        | -                          |
| Indirect Support Costs (Total)  |                 | 81,237  | 45,101                       | 107,454                    |
| FAO (Total):  |                 | 878,684   | 567,100                      | 1,175,136                  |
| UNDP (Total):   |                 | 351,853   | 34,561                       | 386,883                    |
| UNEP (Total):   |                 | 209,565   | 87,740                       | 185,000                    |
| Grand TOTAL:  |                 | 1,440,101.98                                    | 689,401.00                   | 1,747,019.00               |

## 7. Adaptive management

Referring to the deviations and delays indicated in the results framework above and considering whether expenditures are on track, please provide a short narrative of delays encountered, the reasons for them and what action has been considered to alleviate their impact on the Programme. Please indicate if these have been discussed at the Programme Executive Board (PEB) or National Steering Committee (NSC) meetings, between the Programme Management Unit (PMU) and national counterparts and what measures have been proposed to overcome them.

### 7.1 Delays and Corrective Actions

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| What delays/obstacles were encountered at country level? [150 words]   |
| <p>Delays were encountered during the year due to the delayed process of recruiting consultants to undertake the studies both nationally and internationally. Hence some of the studies and activities were delayed and that led to the overall set back on the final NRIFAP.</p> <p>The work on the preparation of the SLMS geo-portal was also delayed due to changes in technical personnel. In addition, the budget revision exercise of the FAO component was also delayed due to lack of direct access to the financial systems by the PMU staff.</p> <p>Gap between departure of previous and appointment of new Regional UN-REDD Coordinator of UNEP resulted in delayed funds transfer which impacted on the planned communications activities during the reporting period.</p> |
| Have any of the delays/obstacles been raised and/or discussed at the Programme Steering Committee meetings? [150 words]  |
| <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p>At each PEB/SC meetings these constraints were tabled and possible solutions were discussed. At certain times, the PEB/SC membership allowed PMU to revise budgets accordingly to take necessary actions to expedite the programme activities.</p>  |
| What are the delays/obstacles anticipated in terms of their impact on the NP? [150 words]  |
| <p>The proposed timeline for the NP activities was delayed and some studies were postponed. Due to difficulties in finding suitable national consultants, PMU technical officers had to shoulder some of these unplanned works in their ToRs.</p>  |
| How are these delays/obstacles being addressed? [150 words]  |
| <p>Three Technical Working Groups (TWGs) were established to work on the NRIFAP. Meetings were conducted on a regular basis and the relevant government officers were invited to the PMU to work under the direct supervision of 3 group leaders respectively. The budgets were revised accordingly so that the activities could be implemented in a flexible manner. In addition, PMU set tight deadlines with the consultants and closely monitored their performance to get the work done on time.</p>  |

### 7.2 Opportunities and Partnerships

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| Over the reporting period, have any opportunities that were not foreseen in the design of the programme been identified to help advance efforts on REDD+? [150 words] |
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The TWGs established played an important role in providing relevant direction to the PMU. In addition, the Academic and Research and Communications Task Forces in particular provided a good hand to the PMU in the process of the developing the national REDD+ strategy (NRIFAP).

The engagement of the private sector in a more proactive and participatory manner from the inception would have been beneficial for the UN-REDD Programme. However, through the Biodiversity Sri Lanka forum, the private sector players who are investing in environmental protection and also through the 2 major chambers, PMU was able to get their consent in supporting the national efforts in increasing the forest cover. Some private sector conglomerates have already tied up with the Forest Department in several projects to restore forests in many parts of the country.

The identified CBR+ projects have been progressing well, and the two knowledge management and capacity building institutions are closely assisting the project grantees with the needed communication and capacity building requirements.

How are these opportunities being incorporated into the work of the NP? [150 words]

The newly formed TWGs were actively involved in the National REDD+ strategy and action plan development process. These 3 TWGs consisted of government officers coming from over 17 technical departments. The process deployed by the PMU increased the ownership of the NRIFAP by the participating officers and the government agencies and that helped in getting the national level consensus for the NRIFAP in the validation session.

## 8. Targeted Support

If the country has received Targeted Support during the reporting period, please provide a narrative of how this was complementary to the NP, and how it has contributed to furthering the readiness process in country.

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| Summary of Targeted Support: [100 words] |
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| N/A |
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