National Programme
Final Report

SRI LANKA

UN-REDD Programme

30 June 2017

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Final Report for the UN-REDD National Programmes

The Final Report for the National Programmes (NPs) highlights overall results throughout the implementation of the NP. These results are reported against the consolidated National Programme Document results framework, as approved by the Programme Steering Committee or Executive Board, or as adjusted following a mid-term review or evaluation.

The report includes the following sections: 1.) National Programme Identification; 2.) Progress Reporting; 3.) Lessons Learned; 4.) Warsaw Framework for REDD+ and Associated UNFCCC Decisions; 5.) Financial Delivery; and 6.) Adaptive management.

The lead agency for each National Programme is responsible for coordinating inputs to the Final 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 regional agency teams, who provide quality assurance and recommendations to the national teams for a focus on results and 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 that could be exchanged among partner countries.

The Final Report for the National Programmes should be submitted to the UN-REDD Programme Secretariat (un-redd@un-redd.org).

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 requested to provide their electronic signatures below, prior to submission to the UN-REDD Secretariat.

National Programme Title	Sri Lanka UN-REDD Programme
Implementing Partners[1]	• Forest Department of the Ministry of Mahaweli Development and Environment (Lead implementing partner) • Climate Change Secretariat (CCS) of the Ministry of Mahaweli Development and Environment • Department of Wildlife Conservation (DWC) of the Ministry of Sustainable Development
Participating Organizations	FAO (lead agency), UNDP, UNEP

Project Timeline			
Programme Duration	4 years and 3 months (with no-cost extension)	Original End Date[2]	02.04.2016
NPD Signature Date	27.02.2013	Current End Date	30.06.2017
Date of First Fund Transfer[3]	04.04.2013	Mid-term Review	Yes
Original End Date[4]	02.04.2016	Mid-term Review Date	26.02.2015

Financial Summary (USD)[5]			
UN Agency	Approved Budget[6]	Amount Transferred[7]	Cumulative Expenditures up to 31 March 2017[8]
FAO	2,410,000	2,410,000	2,408,447
UNDP	915,000	915,000	915,193
UNEP	413,318	413,318	413,317
Indirect Support Cost (7%)	256,682	256,682	261,380
Total	**4,000,000**	**4,000,000**	**3,998,337**

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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 original end date as stated in the NPD.
5 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).
6 The total budget for the entire duration of the Programme as specified in the signed Submission Form and NPD.
7 Amount transferred to the participating UN Organization from the UN-REDD Multi-Partner Trust Fund.
8 The sum of commitments and disbursement

Signatures from the designated UN organizations[9]			Signature by the Government Counterpart
FAO	UNDP	UNEP	

Date and Name of Signatories in Full:

FAO Representative	Deputy Country Director	Regional Technical Advisor	Chief Conservator of Forests

2.   Progress Reporting

This section aims to summarize the results and identify key achievements of the NP. Additionally, the section provides the opportunity to capture government and civil society perspectives and for these parties to provide additional or complementary information.

2.1 Overall Results of the National Programme

Please provide a brief overall assessment of the extent to which the NP has reached the expected outcomes and outputs identified in the National Programme Document. [500 words]

The Sri Lanka UN-REDD National Programme (NP) commenced its activities in June 2013 and finalised its core deliverable - the National REDD+ Investment Framework and Action Plan (NRIFAP) in May 2017. The NRIFAP was developed with the participation of all stakeholders of the NP, creating a high level of national ownership which will facilitate its implementation over the coming years.

National legal, procedural and institutional arrangements for sectors relevant for REDD+ were reviewed at an early stage of the NP, leading to the completion of the National REDD+ Roadmap in early 2015, which provided recommendations on the institutional arrangements for REDD+ implementation. It was the basis for the establishment of the REDD+ Advisory and Coordination Board (RACB), which is the central coordination and oversight body for REDD+ in Sri Lanka. Established in early 2016, the RACB received regular updates on the NRIFAP development process. The RACB includes representatives of 13 ministries, 20 state agencies, 2 Civil Society Organisations (CSOs), 2 Indigenous Peoples (IP) and local community groups, 2 private sector representatives and 2 academic representatives, with a total of 41 members. Chaired by the Secretary to the Ministry of Mahaweli Development and Environment (MMDE), it is responsible for ensuring efficient and transparent decision-making over the implementation of the NRIFAP and for the overall strategic coordination of all REDD+ Policies and Measures (PAMs), supported by various development partners and national institutions.

A Programme Management Unit (PMU) was established very early in the NP, and was staffed by a team comprising both technical and operational staff. Under the leadership of a National Programme Manager, the PMU provided the assistance required for delivery of NP outputs throughout the 4-year implementation period. The PMU facilitated the establishment and operation of all the institutions and bodies required for both NP implementation and NRIFAP preparation, including the Programme Executive Board (PEB), which was succeeded by the NP Steering Committee (SC), the RACB, Task Forces (TFs), Technical Working Groups (TWGs), the CSO Platform, which was later registered as a guaranteed company called the Sri Lanka Climate and Forest Action Network (SLCFAN), the IP Forum, the Academic and Research Forum (ARF), and the Private Sector Forum.

The NRIFAP development process started with an analysis of drivers of deforestation and forest degradation and barriers to forest enhancement in 2014. The analysis identified three key drivers of deforestation - encroachment, infrastructure development and commercial agriculture - and several drivers of forest degradation, concentrated in five hotspots with high deforestation. The report recommended an extended list of potential PAMs to address these drivers. These PAMs were then further analysed through a series of studies; including an assessment of impacts related to land tenure, the framework of national Policies, Laws and Regulations (PLRs), a risks/benefits analysis and a financial analysis. The potential PAMs were reviewed by multi-stakeholder working groups against criteria derived from these studies, and refined into a final set of 13 PAMs with detailed profiles and budgeted action plans that constitute the backbone of the NRIFAP. A national CSO monitoring system was positively received by the Forest Department (FD) and included in the NRIFAP. The NRIFAP further strengthened full and effective participation of forest-dependent men and women through a nationally-adapted tool to help planners and policymakers to identify if and

when free, prior and informed consent (FPIC) is required, and to plan and implement engagement accordingly.

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, 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, interaction with UNFCCC experts in the Technical Assessment (TA) process and a submission of a revised FRL incorporating TA feedback in May 2017. Sri Lanka's first National Forest Inventory (NFI) was established under the Forest Department (FD), for continuous terrestrial monitoring of forest resources, with the support of experts from the Forest Survey of India (FSI). A National Forest Monitoring System (NFMS) web-portal for Sri Lanka was initiated in 2016 and launched in March 2017, including land use maps for years 2000, 2005, 2010 and 2015 and several other thematic layers including soil types and agro-ecological regions. The forest cover map of 2000, prepared by the FD, was taken as the base for future forest cover monitoring in the country.

A framework for social and environmental risk mitigation and multiple benefit enhancement of the PAMs has been designed. Sri Lankan safeguards have been developed and analysed and subsequent gap-filling actions have been prioritised.

Overall, the NP has achieved all deliverables anticipated at the start of the Programme.

2.2 Ancillary results

Please provide a description of results that had not been planned for in the National Programme Document but delivered in the process of implementing the National Programme. [250 words]

- Organisation of the ecosystem valuation research symposium in October 2016 with the support of the ARF
- Fundraising support to the government for the implementation phase (ongoing discussion with the World Bank and the Green Climate Fund)
- Establishment of SLCFAN - the successor to the CSO platform established under the UN-REDD Programme to strengthen and consolidate the membership both nationally and regionally. It is a registered company that will promote and facilitate CSO involvement in NRIFAP implementation.
- Engagement of Forest Survey of India (FSI) under South-South Collaboration to design the NFI
- Implementation of the first cycle of the NFI (900 plots)
- Forest mapping and monitoring equipment have been provided to FD to enhance MRV activities
- The revised budget of output 4.3 allowed the recruitment of a Stakeholder Engagement Officer to assist implementation of the awareness campaigns in 21 districts.
- The Programme assisted in updating and revising management plans of Forest Department (75) and DWC (11).
- Support to the CBR+ Programme by developing the Country Action Plan.

2.3 In Focus

Please provide an example of an outstanding achievement made by the NP. [150 words]

- The establishment of the TFs and TWGs enabled effective and efficient participation of the government counterparts in Programme activities and has led to strong buy-in from the different stakeholder groups. The consultative approach taken to develop the NRIFAP is considered in Sri Lanka as one of the most successful policymaking initiatives and has allowed its endorsement by the main stakeholders' groups.
- South-South cooperation with the FSI, which provided the capacity building needed for the design and implementation of the NFI. Since FSI staff were provided *gratis,* the NP has been able to pilot the NFI using the funds thus saved. The implementation of South-South Collaboration for NFI design and implementation was very much appreciated by all stakeholders and was strongly highlighted in the final Programme evaluation.

2.4 Government Comments

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

Anura Sathurusinghe, Conservator General of Forests and National Programme Director

The government of Sri Lanka is proud to report that the Sri Lanka UN-REDD Programme has achieved all its expectations and was completed successfully.

It could attract a wider audience of different stakeholders, who were not limited to forestry technicians and forestry-based NGOs. The efforts of the PMU to keep up this momentum is commendable. This trend was continued throughout the Programme period and it has contributed to the quality of the final product – NRIFAP and all other outcomes of the Programme.

Regular progress review meetings too contributed to the timely achievement of both financial and physical targets of the Programme. The CTA and the PMU Manager provided strong leadership ensuring the timely achievement of progress. The mid-term review also helped the Programme to identify issues to be addressed during the rest of the project period.

Establishment of NFMS for Sri Lanka is one of the most important contributions to the progress of the forestry sector in Sri Lanka. As a part of the NFMS, National Forest Inventory (NFI) methodology was planned with the technical expertise from Forest Survey of India (FSI). Involvement of FSI during planning stages and implementation of NFI provides a good example for South-South Corporation which is widely discussed at REDD+ related forums. NFMS web geo-portal is another important tool which is very popular among researchers and academics. The capacity developed within the forest department and department of wildlife conservation with regards to the NFMS is very important for the both department to continue with the activities in the future too. Both national and international consultants attached to PMU have played an important role for the success of this component.

Communication activities of the Programme showed tremendous improvement during the latter part of the project. Establishment of Communication Task Force, recruitment of new communications officer to the PMU contributed to the success. It played a major role in number of forestry related national events conducted in Sri Lanka.

The final product – The NRIFAP – is the result of four years dedicated work of all stakeholders – both government and non-government, IPs, CSOs etc. The government of Sri Lanka has accepted it and agreed to provide funds for the implementation of it. The structure and content of the document which was designed by CTA has attracted both local and international community including donors and development agencies.

The success and timely completion of the entire Programme was due to the dedication of the staff of the PMU. They were a highly-motivated team led by CTA and National Manager. Overall, the progress of the UN-REDD Programme implemented in Sri Lanka is very successful.

2.5 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]

Hemantha Withanage, Chair, Sri Lanka Climate and Forest Action Network

The Civil society platform established by the Si Lanka UN-REDD program in 2013 includes 55 member organizations now. We have formally registered this organization as Sri Lanka Climate and Forest Action Network (SLCFAN) under the Companies act to ensure the sustainability of the network. We have also built 6 regional networks and provided support for the regional work plans. SLCFAN congratulate the Sri Lanka UN-REDD for its successful completion of the NRIFAP which is the REDD+ strategy for Sri Lanka. SLCFAN is happy with its contribution to make this strategy to address local concerns while respecting to the international and national requirements. SLCFAN successfully brought the citizens voices and concerns to the strategy development process. Ensuring the inclusion of the Cancun safeguards, Free, Prior and Informed Consent approach and other major social and environmental concerns to the NRIFAP document is a major task of the CSO platform.
SLCFAN contributed to make improvements to the drivers of deforestation study to present the real causes for deforestation. We have also produced the study on the non-carbon benefits of forests which shows that tapped and untapped non-carbon benefits of the Sri Lankan forests are much higher than the carbon benefits.
SLCFAN is happy with the final document and with 13 PAMs and eager to take part in the implementation stage. SLCFAN has diverse member groups. We are in the process of building the capacity of the members for involving them in the implementing stage. At the completion of the REDD+ readiness stage, we thank the Forest Department, other local stakeholders, the Project Management Unit of the UN-REDD Programme, FAO, UNDP and UNEP for building and respecting the civil society role in the REDD+ strategy development process.

Chandrarathna Vithanage, Senior Assistant Secretary General, The Ceylon Chamber of Commerce
As the private sector play a crucial role in affecting the forest cover and contributing to global warming to a varying extent, they have understood the need to play a key role in reducing the emissions through deforestation and forest degradation. The UN-REDD Programme made a serious attempt to engage the private sector in most of the activities of the REDD+ Readiness Phase. This engagement was mainly facilitated by the leading Chambers of Commerce, Biodiversity Sri Lanka and the Industry Associations representing the industry sectors that make a significant impact on the forest sector. Private sector companies in sectors such as plantations, agriculture, tourism and renewable energy showed a keen interest in actively engaging with the UN-REDD Programme. A few private sector organizations were more closely involved in REDD+ activities by serving on

Technical Working Groups, especially on TWG on Communication Strategy. Private sector believes that the NRIFAP, the national strategy for reducing emissions through deforestation and forest degradation, is a very comprehensive document covering most of the aspects to minimize deforestation and forest degradation and increasing national forest cover. Private sector is eager to see effective and efficient implementation of NRIFAP through a true public-private partnership leading to realization of its expected goals and objectives.

Nimal Gunatilleke, Convener, Academic and Research Forum (ARF)

The main objectives of establishing the ARF was to identify and address specific issues emerging from planned REDD+ policies and actions that are of academic and research interest and prioritize them for active engagement. Having recognized ecosystem services of forests and their rapid degradation as a priority area that needs demonstration of their economic value as much as possible to capture their 'true value', in policy debates, the ARF is developing a broad multi-disciplinary research Programme to address the broad issue of economic valuation of the services and benefits of the island's forest ecosystems. A successful symposium on 'Valuation of Forest Ecosystems and their Services' was held in October 2016 which was followed by a s series of capacity building workshops. A pilot multi-disciplinary research project has been conceptualized to study the landscape level ecosystem services benefits in a major river basin in Sri Lanka. The encouragement and administrative support received from the UN-REDD PMU for this entire process was a key factor for the success of this Programme so far which is much acknowledged by the ARF.

2.6 Results Framework Matrix

The results framework aims to measure overall results of the National Programme against the outcome and output targets identified in the National Programme document log frame. In cases where there are no achievements or shortfalls in achieving targets, a thorough justification is required. Requirements for the sections include:

- For each outcome, please provide the outcome title and indicate if the outcome was achieved. Please list each outcome indicator, the associated baseline and expected target for the National Programme. Please provide an assessment of whether the target has been achieved and expected outcome met.
- For each output, please provide the output title and list each performance indicator, the associated baseline and expected overall target and delivery against this target.
- Please repeat this for all outputs and outcomes listed in the NP results framework (or revised version after inception workshop or mid-term review).

Outcome 1: National Consensus Reached on the National REDD+ Programme	
☒ Outcome Achieved	☐ Outcome not achieved

Results against the Outcome:

National legal, procedural and institutional arrangements for sectors relevant for REDD+ have been reviewed at an early stage of the UN-REDD NP, allowing the preparation of the National REDD+ Roadmap in early 2015. The REDD+ Roadmap provided recommendations on the needed institutional arrangements for REDD+. It was the basis for the establishment of the REDD+ Advisory and Coordination Board (RACB), that is the central coordination and oversight body for REDD+ in Sri Lanka. Established in early 2016, it has been regularly updated on the National REDD+ Investment Framework and Action Plan (NRIFAP) development progress to ensure a smooth transition from the UN-REDD National Programme to NRIFAP implementation. The board's membership includes 13 ministries, 20 state agencies, 2 CSOs, 2 IP & local community groups, 2 private sector representatives and 2 academic representatives, with a total of 41 members.

Outcome Indicators	Baseline	Expected Target	Assessment Against Target
• Number of state and non-state entities actively supporting and contributing to REDD+ Readiness	• No agreed consensus on national REDD+ management arrangements	• Within 24 months, Sri Lanka's REDD+ Readiness process effectively guided by a broad-based, multi-stakeholder national body based on a nationally agreed Roadmap • National REDD+ Readiness becomes a cross-sectoral process	• The RACB includes 13 ministries, 20 state agencies, 2 CSOs, 2 IP & local community groups, 2 private sector representatives and 2 academic representatives, with a total of 41 members. • The RACB has met 5 times since 2016

Output 1.1: Broad-based, multi-stakeholder national REDD+ advisory group established			
Output Indicators	Baseline	Expected Target	Assessment Against Target
• ToR endorsed by the MOE & members of the RPMCC appointed	• No advisory group, but draft ToR available	• Within 24 months RPMCC established, demonstrating a nationally-led REDD+ Readiness	• The RACB TORs have been endorsed by all members (including the MMDE)

| | | process, 2 workshops per year, 4 meetings per year | • The RACB is chaired by the Secretary to the MMDE |
| | | | • The RACB establishment is yet to be officially endorsed by a Cabinet paper |

Assessment towards Output:

In late 2015, the former Programme Executive Board evolved into the RACB (replacing the original concept of RPMCC) and a narrow UN-REDD Programme Steering Committee (SC), the latter focused only on management of the UN-REDD Programme. In 2016/17, the RACB and SC were regularly updated on the progress and key decisions related to the NRIFAP development (5 meetings were conducted) and provided guidance for its finalization and national endorsement. These regular meetings increased the capacity of the members who will lead the REDD+ implementation and provide guidance to the future REDD+ initiatives. It has thus allowed the integration of different stakeholders' groups inputs in the NRIFAP. The endorsement of the Cabinet Paper by the Presidential Secretariat will ensure the institutionalization of this coordinating body. However, its sustainability is dependent upon the success of REDD+ implementation and will therefore disappear if the NRIFAP is not implemented.

Link to the institutional arrangements description - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=52&Itemid=213&lang=en

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			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• Strategic directions available for effective implementation of REDD+ Programme in Sri Lanka	• Limited capacity and gaps in implementing National REDD+ Readiness Programme • Work initiated in R-PP preparation • Key guiding policies/programmes such as Haritha Lanka Programme, legal documents available for review. • Set of national guidelines for REDD+ Programme management not available.	• Within 18 months, recommendations on institutional and capacity needs are prepared based on reviews and consultations	• A review of Sri Lanka's policies, policy instruments and institutional arrangement for REDD+ was completed in August 2014 and a summary document has been prepared to serve as an input for the Roadmap development process.
Assessment towards Output: The study was conducted and findings were shared among the key stakeholders within the reporting period. The institutional, policy, legal and regulatory context in Sri Lanka, in the context of REDD+, has been reviewed and was part of the basis for development of the national REDD+ Roadmap. Link to the final report - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en			

Output 1.3: National REDD+ Roadmap prepared			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• A set of well-structured REDD+ Readiness strategies and activities for those strategies agreed by all relevant stakeholders;	• No roadmap	• Within 18 months, a draft roadmap available for public review and comments. • Within 21 months, the Roadmap officially adopted and guiding further REDD+ readiness process.	• The Roadmap was developed and formally endorsed by the stakeholders in 2015.
Assessment towards Output: After a series of consultative sessions, the vision for REDD+ was established and has led to the development of the REDD+ Roadmap. The REDD+ Roadmap provided links to the completed, ongoing and future studies/ assessments during the period. It provided a comprehensive view of the REDD+ readiness processes and challenges and			

was used to reinforce stakeholders' capacities. It was endorsed by the stakeholders in 2015. The REDD+ Roadmap was the reference document for the development of the NRIFAP.

Link to the final report - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en

Outcome 2: Management Arrangements contributing to the National REDD+ Process	
☒ Outcome Achieved	☐ Outcome not achieved

Results against the Outcome:

As part of management arrangements, a Programme Management Unit (PMU) was established within 3 months of its inception and it was manned by a team comprising both technical and operational staff. The PMU was responsible for the overall management of the Programme and could provide all the strategic level support required for the Programme delivery throughout the 4-year period. PMU facilitated in establishing all the required institutional arrangements for both NRIFAP preparation and implementation.

Outcome Indicators	Baseline	Expected Target	Assessment Against Target
• National REDD+ Office fully functional under RPMCC guidance with clear plans for capacity development	• No management arrangement in place	• Within 3 months, the National REDD+ Readiness management structure is operational and effectively and efficiently providing strategic support to Sri Lanka's National REDD+ Readiness process. • Within 18 months, the same management structure is leading an institutional capacity development process	• Within 3 months of Inception, the PMU was established and provided the needed management, operational, and administrative support for Programme implementation. • Capacity building activities were conducted throughout the NP and most of the key counterparts were exposed to these programmes conducted both locally and internationally.

Output 2.1: UN-REDD Programme implementation arrangements established			
Output Indicators	Baseline	Expected Target	Assessment Against Target

• Level of PMU staffing, and participation status of TFs and TWGs • % of annual targets of the Programme met • Number of multi-stakeholder meetings/workshops held for coordination and capacity building	• No PMU, TFs, TWGs or stakeholder networks	• Within the first month, all positions of PMU recruited and their duties assumed • Within 18 months, three specific TFs and TWGs are established and fully operational. • Two meetings/workshops for coordination and capacity building are held monthly	• PMU was established and all positions were recruited within the first 3 months (except the Communications Officer which took about 4 months) • 3 TFs were established (MRV, Communication and National Policies and Strategies) • 5 TWGs were established (FRL, Strategy development X3, and Safeguards) • On average about 2-3 meetings and workshops were carried out monthly which led for better coordination and capacity building among the key stakeholders.

Assessment towards Output:

The arrangement and establishment of the Programme implementation support was carried out as planned and the assistance received from the PMU was highly satisfactory. PMU supported the logistics of both the SC and RACB operation. In addition, 3 Task Forces and 5 Thematic Working Groups were set up for better coordination and support to the readiness activities. Meetings/trainings were conducted for different stakeholder forums including SLCFAN, IPs, ARF and the Private Sector.

Output 2.2: Capacity Building Action Plan developed for REDD+ (linked to Output 1.2)			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• A REDD + management structure, institutional arrangements and required competencies for institutions approved by RPMCC • A stakeholder endorsed capacity building action plan	• No capacity assessment done	• A REDD+ management structure, institutional arrangements and required competencies are identified under output 1.2. • Within 24 months a Capacity Building Action Plan is prepared and endorsed by RPMCC	• 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 • Detailed institutional arrangements have been endorsed for the coordination and implementation of the 4 REDD+ elements and are described in the NRIFAP • A comprehensive Capacity Building Needs Assessment (CBNA) conducted in late 2016 and a subsequent Capacity Building Action Plan endorsed by all stakeholders and included in the NRIFAP.

Assessment towards Output:

Institutional arrangements for 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, except for 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. This report has been used to develop the capacity building action plan component of the NRIFAP which include a detailed and costed Capacity Building Action Plan.

Link to the final report - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en

Outcome 3: Improved Stakeholder Awareness and Effective Engagement	
☒ Outcome Achieved	☐ Outcome not achieved
Results against the Outcome: [100 words] The government's commitment to REDD+, as the key target stakeholder group, was evidenced with the active participation and the leadership of the MMDE in 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 FD in various aspects of communication activities. While each of the stakeholder groups has an interest based on their area of engagement, there is now a demand for REDD+ implementation as the benefits of REDD+ implementation are understood, defined and included in the NRIFAP.

Outcome Indicators	Baseline	Expected Target	Assessment Against Target
• Number and types of stakeholders meaningfully engaging in REDD+ readiness	• Majority of stakeholders are not aware of REDD+	• Within 36 months, key state and non-state stakeholder (100) groups including IPs and forest dependent communities are aware of REDD+ and engaged in REDD+ Readiness activities	• The CSOs (SLCFAN), Private Sector Forum (two chambers), Indigenous People (IP) forum, and Academic and Research Forum (ARF) are formed and functional. • Strategic communication materials were developed (posters, brochures, newsletters, infographics, etc.) • CSOs representing at least 21 districts, the two chambers with a membership of over 400 each, six IP clans, and all the Universities in Sri Lanka were made aware of the REDD+ Programme and effectively engaged.

Output 3.1: Strategic communication and consultation plan prepared			
Output Indicators	Baseline	Expected Target	Assessment Against Target
• 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	• Within 3 months, a Work Plan for Communications Network is finalized and agreed; and National Programme Website and newsletter are launched. • Within 36 months, video documentaries that focus on the	• A Communication TF was formed in mid-2015, while the trilingual national 'REDD+ Sri Lanka' website was launched and newsletters published. • Video highlighting the nexus between forests and water was

		linkages between REDD+ and water issues, as well as a green economy in Sri Lanka are produced. • Within 18 months, key state and non-state stakeholders are fully aware of REDD+ and able to contribute to national REDD+ processes effectively.	tailor-made for Sri Lanka in three languages and communicated widely via TV and social media. • Key state and non-state stakeholders were targeted via mass media campaigns as well as on an individual basis and empowered by an understanding of REDD+

Assessment towards Output:

The Communication TF provided strategic guidance to the communication-related activities of the PMU in innovative areas that has enabled REDD+ in Sri Lanka to be aligned to national priorities. It has 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).

While 5 video documentaries and one TV-show were produced by the PMU, the public was engaged strategically to help develop one-minute videos through the 2017 International Day of Forests short-video competition. Six media campaigns – newspapers were mainly used – were launched with the objective of creating awareness of REDD+ in Sri Lanka and engaging the public.

The Sri Lanka UN-REDD Programme also supported the FD to link up with the private sector for a Public-Private Partnership (PPP) programme called Grow-A-Fighter that was launched by the government in January 2017. The REDD+ Sri Lanka Facebook Page has been maintained and has received over 30,000 'likes'.

Link to the REDD+ website: www.redd.lk

Link to the Grow-A-Fighter website: www.vanaviruvaduma.lk

Link to the Facebook page: www.facebook.com/SriLankaREDDplus

Output 3.2: Stakeholder engagement in REDD+ readiness process enhanced (incl. FPIC, the private sector engagement)

Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• Representatives of stakeholder forums identified/developed and contributions of the forums are considered by the PEB/RPMCC in its decision making • FPIC guidelines developed	• preliminary consultation workshops and processes during R-PP preparation mainly at national level	• Within 8 months appropriate stakeholder forums including indigenous peoples, local communities, women and other key stakeholders, identified and receive sufficient capacity building training to REDD + decision making	• The CSOs platform (SLCFAN), Private Sector Forum (two chambers of commerce), Indigenous People (IP) forum, and Academic and Research Forum (ARF) are established and functional and have received intensive capacity building training

• Grievance handling mechanism operational		• Within 21 months, FPIC guideline is drafted as well as consultations on the design of a grievance mechanism are held. • Within 24 months, a grievance mechanism is proposed and tested. • Within 30 months, FPIC guidelines are finalized, and training programs are designed and implemented. • Within 36 months, the grievance mechanism is operational	• Based on the FPIC principles a checklist for effective gender-responsive stakeholder engagement has been prepared, verified and validated with the stakeholders and included in the NRIFAP. • The Grievance Redress Mechanisms in Sri Lanka were assessed and recommendations for REDD+ implementation provided and included in the NRIFAP.

Assessment towards Output:

The CSO platform has registered itself as an independent entity to support REDD+ implementation while the AR Forum as well as the PS Forum are organising themselves to carry out activities related to REDD+ PAMs in the future.

PMU made every effort to maintain a high level of stakeholder engagement in the NRIFAP development process throughout. The state agencies positively and actively contributed towards NRIFAP development and special sessions for CSOs, IP Forum, AR Forum and PS Forum members were also conducted. 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. Similarly, the Grievance and Redress Mechanisms in Sri Lanka were assessed and recommendations for REDD+ implementation provided and included in the NRIFAP.

Link to the final report - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en

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Outcome 4: National REDD+ Strategy and Implementation Framework	
☒ Outcome Achieved	☐ Outcome not achieved

Results against the Outcome:

The development of the REDD+ Strategy in Sri Lanka has been the one of main achievement of the UN-REDD Programme. Many technical, financial and institutional studies together with meetings of 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. The NRIFAP is a five year USD 99 million investment framework and 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 REDD+. It has been officially handed-over to the Government on 9th May 2017.

Outcome Indicators	Baseline	Expected Target	Assessment Against Target
• A comprehensive National REDD+ Strategy together with implementation plans and validated with stakeholders	• National REDD+ strategy not available • Legal and policy documents on deforestation, forest degradation, land tenure and rights not available	• Within 36 months, the National REDD+ strategy and implementation plans are fully supported by all relevant stakeholders	• The NRIFAP has been developed through an extensive consultation process and is based on all technical/ institutional studies done during the readiness phase. • The NRIFAP was endorsed separately by all stakeholders' groups and was officially handed to the Government of Sri Lanka on 9th May 2017.

Output 4.1: Drivers of deforestation and forest degradation, and legal and policy alignment needs identified			
Output Indicators	Baseline	Expected Target	Assessment Against Target
• Drivers and causes of deforestation and forest degradation fully identified. • Integrated spatial and economic analysis completed. • Legal and policy gaps, and required alignments, identified for REDD+ • A set of policy recommendations and action plans identified and supported by stakeholders	• No assessment of drivers, opportunity costs, or gap analysis on policy and measures • Biodiversity and ecosystems assessments, preliminary consultations during R-PP preparation	• Within 18 months, an analysis of drivers of deforestation and forest degradation is completed. • Within 22 months, an Integrated Social, economic and political analysis and implementation framework for addressing drivers are completed. • Within 30 months, policy recommendations and sectoral action plans are prepared, tested, endorsed by stakeholders and proposed to RPMCC. • Within 36 months, policy recommendations are at least partially implemented.	• An analysis of the drivers of deforestation and forest degradation (D&D) has been conducted in 2014 and its findings endorsed by all stakeholders' groups. • Policies & Measures (PAMs) to address the drivers of D&D have been identified and prioritized and have been further assessed against the existing Policies, Laws and Regulations (PLRs).

Assessment towards Output:

Drivers and causes of deforestation and forest degradation have been identified and endorsed by all stakeholders leading to the listing of preliminary PAMs. Further legal, technical and institutional analysis and feasibility studies have been conducted to prioritize and refine the PAMs. A final set of 13 PAMs has been identified and endorsed by all stakeholders.

Link to the final report - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en

Output 4.2: Land tenure and use rights clarified towards the benefit sharing of REDD+			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• A detailed report describing different land tenure patterns in Sri Lanka is available	• Unclear land tenure and land rights in rural areas	• Within 18 months, information related to land and forest tenure and use rights compiled. • Within 27 months a proposal for clarifying land ownership and related rights is adopted by RPMCC.	• An analysis of the land tenure considerations in Sri Lanka's NRIFAP was conducted in 2015. The following findings have helped to refine the selected PAMs by considering land tenure aspect during their design: 1. An overview of the forest and land use situation in Sri Lanka 2. A presentation of the institutional and policy context 3. A presentation of tenure related issues in the country. 4. An analysis of the tenure considerations related to potential PAMs • No formal proposal for clarifying land ownership and related rights has been prepared. Instead, a screening list for appraising whether an activity will require FPIC (including tenure criteria) has been included in the NRIFAP.

Assessment 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.	
Link to the final report - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en	

Output 4.3: Options for addressing deforestation and forest degradation at sub-national level identified			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• 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	• Within 30 months, 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 • Lack of forest boundary demarcation was identified as a cause of deforestation and degradation. The MRV TF decided to include this as an activity under this output as a pilot exercise to help government in declaration of forest under respective category. • CBR+ Country Plan was prepared • Revision and updating of Management plans of FD and DWC

			were done with the involvement of peripheral community
			• Non-carbon benefits assessment of forests was carried out covering the D&D hotspots
			• District awareness Programmes for CSOs (21) and Government officers were conducted and District drivers of D&D posters developed
			• Natural Capital software training for ecosystem services valuation conducted for University academics and data managers of relevant government and CSO officers.

Assessment 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. Actions are 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.

Following awareness Programmes across the country, several options for addressing drivers of deforestation and forest degradation at sub-national level were tested and found to be promising. These piloted options (boundary demarcation, management plans) have been integrated in the NRIFAP and will be scaled-up during REDD+ implementation. In parallel, additional needs for technical assessment of these options were identified and subsequent analyses were done to refine the PAMs approaches. Several SLCFAN and IP Forum members successfully applied for CBR+ grants, a collaboration between UNDP GEF SGP and the UN-REDD Programme. They tested community-driven approaches to deal with drivers such as encroachment, grazing and forest fires. A national CSO monitoring system including forest vigilant groups, hotline and website to map illegal activities, was positively received by the FD and included in the NRIFAP.

Output 4.4: Options for equitable and transparent benefit sharing identified

Output Indicators	Baseline	Expected Target	Assessment Against Target
• A set of policy recommendations on benefit sharing mechanism is approved by the RPMCC	• Some relevant lessons from other sectors	• Within 24 months, an analysis of possible REDD+ fund management arrangement is completed.	• REDD+ fund management arrangements have been agreed and

		• Within 30 months, consultation on implementation arrangement for fund management & benefit sharing is completed.	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.
			• No discussion on Result Based Payments sharing mechanisms has been held as no final guidance has been agreed internationally.
			• A financial appraisal of the NRIFAP was conducted.

Assessment towards Output:
Sri Lanka has designed and consulted on a financial management mechanism to receive, pool and disburse REDD+ funding. This design considers 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.
In addition, a socio-economic appraisal of the NRIFAP has been conducted in late 2016 and was used to show the total amount of savings it represents to the national economy. This information was used for the discussion with the Government about the co-financing of the NRIFAP.
Link to the final report - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en

Output 4.5: National REDD+ Strategy developed			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• Officially endorsed National REDD+ strategy available	• No REDD+ roadmap, strategic actions identified during RPP preparation	• Within 33 months, a National REDD+ Strategy is fully elaborated. • Within 36 months, the Strategy officially is endorsed and implementation plans agreed.	• Three TWGs have been set up to develop and refine the PAMs in 2016 and selected PAMs have been implemented on a pilot scale (boundary demarcation, restoration of degraded forests) – see output 4.3 • The NRIFAP has been developed through an extensive consultation

| | | | process and is based on all technical/ institutional studies done during the readiness phase. |
| | | | • The NRIFAP was endorsed separately by all stakeholders' groups towards the end of 2016 and was officially handed to the Government of Sri Lanka on 9th May 2017. |

Assessment towards Output:

The NRIFAP is a five year USD 99 million 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 Government of Sri Lanka, who will lead its implementation, as well as other stakeholders, as the country moves towards implementing actions on REDD+.

Link to the NRIFAP in all 3 languages (Sinhala, Tamil and English) -

http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=157&Itemid=269&lang=en

Outcome 5: Monitoring and MRV Results for REDD+ Activities Provided

☒ Outcome Achieved	☐ Outcome not achieved

Results against the Outcome:

The following MRV-related results have been achieved:

- The National Forest Monitoring System (NFMS) web-portal has been developed and was launched in 2017.
- The National Forest Inventory (NFI) has been designed and piloted
- The Forest Reference Level (FRL) for Sri Lanka has been developed and submitted to the UNFCCC in 2017.
- Staff of the CCS and other relevant departments, universities, private sectors etc. were provided with training on GHG inventories.
- The relevant departments were provided with adequate training in MRV and in allied fields.
- Manuals, proceedings and relevant reports have been prepared and published.

In parallel, the Sri Lankan approach to REDD+ safeguards has been developed and include the national safeguards, the PAMs risks/benefits, the PLRs analysis and subsequent gap-filling actions, the institutional arrangements and preliminary guidance on the future summary of information.

Outcome Indicators	Baseline	Expected Target	Assessment Against Target
• Number of key guidelines/manuals, systems and procedures and capacity development programs endorsed by RPMCC	• No Monitoring and MRV results developed • No safeguards	• Within 36 months, a complete set of technical guidelines/manuals, systems and procedures, together with institutional and individual capacities, are in place to support full implementation of NFMS, MRV and safeguards	• GHG inventory training delivered, technical proceedings published. • NFMS launched and NFI designed and piloted. • NFI manual available in Sinhala and English. • FRL constructed and submitted to UNFCCC. • Individual and institutional capacities built on NFMS, NFI, and FRL and on disciplines such as remote sensing, GHG inventory etc.

Output 5.1: MRV process initiated			
Output Indicators	Baseline	Expected Target	Assessment Against Target
• A set of technical guidelines/instruction manuals available	• No MRV process in Sri Lanka	• Within 6 months, a National MRV action plan is elaborated. Within 12 months, a national forest definition is adopted. • Within 12 months training on GHG inventory for the forestry sector are provided. • Within 12 months, the national central database is developed.	• The MRV action plan was available already at the inception of the Programme (completed as a prior study). • Training on GHG-I started during the specified period, and since then 3 training Programmes were conducted with participation of 24 officers of the government institutions. • Data collected through Data Sharing Agreement compiled and kept at

		• Within 36 months, QA/ QC procedures are operational, and guidelines/instruction manuals are available.	central database to be utilized for NFMS. • Guidelines and manuals for land use mapping and NFI are available • QA/QC procedures for data collection are in operation.

Assessment towards Output:

Land use land cover mapping for the years 1985, 2000, 2005, 2010 and 2015 were completed and GIS based mapping and quality checking guidelines were prepared by the Survey Department. The same mapping and QC/QA procedure were adopted by the Forest Department while developing year 2015 forest cover map of Sri Lanka. Trainings and capacity building events were held for stakeholder institutions in related disciplines such as development of allometric equations (2), Land Cover Classification System (4), GHG inventory (3), Forest Reference Level (2), National Forest Inventory (6) and Development of Web Portal for NFMS (3). Outcome of these trainings were produced in the form of workshop proceedings which are used as guidelines for future studies.

Output 5.2: National forest monitoring systems established			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• National forest monitoring system available • A set of pre-tested technical guidelines/instruction manuals available • Technical officers are capable of handling the equipment efficiently and effectively producing required info. • Reference forest map developed.	• No Satellite Forest Monitoring System in Sri Lanka	• Within 15 months, at least 5 trainings on Remote sensing and GIS are provided. • Within 36 months, existing satellite imageries for Sri Lanka are analysed. • Within 36 months, a reference forest map is developed. • Within 36 months, the national forest monitoring system is operational.	• 6 trainings in remote sensing and GIS were given. The FD started to analyze satellite images of 2015 to produce a new forest cover map. • Survey Department (SD) digitized 1985 national land use land cover maps. The SD analyzed satellite images to construct land use land cover maps for years 2000, 2005, 2010 and 2015. • The national forest cover map of 1999 was used as the reference map for calibration of Hansen data for the construction of FRL for Sri Lanka. Other thematic maps (agro-

| | | | ecological regions and soil maps etc.) were also utilized in NFMS web portal development. NFI design was also included into the NFMS geo-portal. |
| | | | • The NFMS web geo-portal was launched in March 2017 and is now operational. |

Assessment 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 for NFMS development. In 2015, six institutions were trained on using Google Earth for forest cover mapping and were involved in the decision-making process to identify parameters for the NFMS geo-portal. . As a result of thematic mapping capacity building exercise FD started preparation of forest cover map for 2015. Survey Department prepared the land use maps for years 1985, 2000, 2005, 2010 and 2015 and these map data are now available to detect land use/land cover changes in a time series. During 2016, a two-day training Programme was held for FD and SD officers on operation aspects of the NFMS web portal, especially on uploading new data. All these data sets were utilized in development of the NFMS web geo-portal which enables data dissemination for all three pillars of NFMS. The NFMS web geo-portal was launched in March 2017 and is now operational. Link to the NFMS geo-portal www.nfms.lk

Output 5.3: National forest inventory designed			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• 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	• Within 12 months, one training on tree allometric equation is provided. • Within 24 months, a forest inventory database is developed. • Within 27 months, the database is populated by all available forest inventory data. • Within 24 months, 10 field trainings are achieved.	• Two trainings on allometric equations conducted during the specific period with participation of 44 participants. • Historical forest inventory data and information compiled and utilized in NFI manual development. • NFI design for Sri Lanka completed and validated in 2016. Field sampling work has started in March 2017. New

		• Within 30 months, the National forest inventory is designed and adopted.	forest inventory database is currently being created. • 9 training programmes (including 3 overseas trainings) have been conducted as part of NFI training. • NFI data processing software developed and it is being utilized by FD.

Assessment towards Output:

The Forest Survey of India (FSI) was engaged in a South-South cooperation initiative to provide support to FD and DWLC officers in design and initiation of NFI, beginning in January 2015. Through a consultative process, parameters of NFI were identified and based on these parameters, NFI design with technical advisory service from 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.

Output 5.4: National circumstances considered for REL/R			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• Assessment report on national circumstances addressing different scenarios available for future implementation	• National circumstances analysis is not adapted for REDD+	• Within 24 months, different socio-economic scenarios are tested. Within 36 months, the national circumstances are assessed.	• A study on national circumstances was undertaken.

Assessment 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. The TWG on FRL construction decided to use the 'Business as Usual' scenario for FRL construction; hence the findings of the national circumstances study were not considered in FRL construction.

Link to the final report - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en

Output 5.5: National REL/RL tested			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*

Output Indicators	Baseline	Expected Target	Assessment Against Target
• Nationally agreed REL/RL available	• No REL/RL exist in Sri Lanka	• Within 30 months, different RELs/RLs are tested.	• Sri Lanka FRL constructed and submitted to UNFCCC on 6 January 2017. • Technical assessment process is ongoing.

Assessment 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 Hansen 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. Final report was submitted to the UNFCCC on 6 January 2017. Technical Assessment process is continuing. The FRL report is online on UNFCCC website. The trainings on FRL have enhanced capacities of FD officers allowing development of future FRL independently. Link to the final report - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en

Output 5.6: Framework for social and environmental risk mitigation and potential multiple benefit enhancement designed			
Output Indicators	*Baseline*	*Expected Target*	*Assessment Against Target*
• A set of pre-tested, nationally appropriate safeguards are endorsed and used by the national REDD+ Programme.	• No safeguards in place	• Within 24 months, nationally appropriate safeguards and indicators are identified. • Within 30 months, National REDD+ safeguards and indicators are tested and submitted for official endorsement. • Within 36 months, the safeguards information is made available in the central database	• Nationally appropriate safeguards have been identified and endorsed by all stakeholders in 2016 • A detailed analysis of the potential risks/ benefits of implementing the PAMs has been done with the support of the different stakeholders' groups • A comprehensive safeguards PLRs analysis has been conducted and gap-filling actions recommended • A preliminary Safeguards Information System (SIS) has been designed and is being refined with the support of a TWG
Assessment 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 several safeguards and indicators were identified for inclusion in the SIS. 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. These information have been endorsed by the stakeholders and have been compiled in the NRIFAP.

Link to all three reports - http://infosl.online/reddlk/web/index.php?option=com_content&view=article&id=172&Itemid=271&lang=en

2.7 Revisions to the National Programme Document

Please provide a summary of any key changes made to the National Programme Document relating to the results framework, indicators, outcome, outputs, implementing partners or duration of the (NP).

If the **results framework** was revised following the inception meeting or mid-term review, please provide a short narrative outlining the changes. [100 words]

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

If the **NP outcomes or outputs** were revised following the inception meeting or mid-term review, please provide a short narrative outlining the changes. [100 words]

No changes were made to the text of the results framework and no changes were made at outcome or output level, but certain activities listed in this framework were identified as not relevant during implementation of the Programme. This included output 1.2, which focused only on a review of institutional and PLR arrangements and capacity needs, with stakeholder mapping and other activities covered instead in outcome 3. For output 4.2, activities 3, 4 and 5 were dropped, and part of the budget was therefore moved to output 4.3 (by PEB decision). For output 4.3, several of the activities at inception phase anticipated the results of the PAMs prioritization, and were later deemed not relevant, with funds being redirected towards CBR+ plan and PAMs piloting (boundary demarcation). For output 5.4, all activities were combined into a single study, and greater emphasis was placed instead on 5.5.

If the **results framework indicators were** revised following the inception meeting or mid-term review, please provide a short narrative outlining the changes. [100 words]

Indicators and targets were reviewed at the inception meeting and timeline for target achievement was set for each output. For output 1.2, the indicators were simplified to focus on recommendations only. The timeline for target achievement was reviewed in early 2014 for most outputs to take account of the delays in early phase of NP implementation. Thereafter these dates were reviewed at the end of each year during preparation of Annual Work Plans (AWPs) to ensure that targets were realistic in the light of NP progress to date. This particularly affected outputs 2.2, 3.1, 3.2, 4.1, 4.4, 5.1, 5.3 and 5.6. At the end of 2014, indicators and targets were reviewed as part of mid-term review and for 2015 AWP development. Output 4.1 expanded the expected scope of the PAMs development process to reflect the multi-criteria analysis method. Target for output 4.4 was changed to emphasise fund management arrangements instead of 'benefit sharing' mechanisms.

If the **NP implementing partners** were changed following the inception meeting or mid-term review, please provide a short narrative outlining the changes. [100 words]
As a response to the recommendations made in the mid-term review, IUCN was contracted by UNEP as a service provider to expedite the delivery of the communications component of the NP.

If the **duration of the NP** was changed following the inception meeting or mid-term review, please provide a short narrative outlining the changes. [100 words]
The NP was extended by one year and three months with the approval of the UN-REDD Secretariat in order to catch up the lost time in the early part of the Programme delivery.

3.   Lessons Learned

This section aims to capture the most significant lessons learned in the context of the National Programme, as they relate to the thematic work areas on REDD+ or more generally to the practical aspects of implementation, coordination and communication. The sections below should be completed only as applicable and in case where lessons learned have been identified.

Please provide a narrative of the **most significant lessons** learned during the implementation of the National Programme. Include explanations of what was learnt, why the lesson is important, and what has been done to document or share those lessons. [150 words]
- Setting up of TWGs is very useful to guide specific analysis/studies and is well accepted in Sri Lanka (TORs and minutes of TWG meetings available)   - Establishing strong relationships with key stakeholders' groups (Private Sector, Civil Society, Academics) reinforces the relevance of the Programme and allows to capture all views and interests. This ensured a consensus on the final document.   - PAMs identification and prioritisation process has been innovative in Sri Lanka (problem/solution trees analysis, Multi-criteria analysis, TWGs) and could be adjusted for replication in other countries (documented as an annex of the NRIFAP). The consultative approach ensured a consensus on the final document.   - **Capacity development and South-South cooperation:** Two separate capacity building needs assessments are needed, one at the beginning and one towards the end of the readiness phase. FSI was an excellent example of South-South cooperation, but such opportunities should be identified at the design stage

Please provide a narrative of the most significant lessons learned relating to **inter-sectoral coordination** during implementation of the national Programme: (150 words)
- REDD+ in Sri Lanka will be implemented through an inter-sectoral framework and built into relevant institutional action plans and budgets. This will help the country to achieve a range of sectoral objectives, not limited to those of the forestry or wildlife conservation sectors. Several key inter-sectoral goals that will be achieved through REDD+ include Climate Change Mitigation, Sustainable Land Management, Restoration and maintenance of Ecosystem Services, sustaining current economic growth and minimize natural disaster risks. - The high-level and inter-sectoral membership of the REDD+ Advisory and Coordination Board (RACB) reinforced its legitimacy during the readiness phase and will be key to ensure the efficient and transparent decision-making over the implementation of the NRIFAP. The inter-sectoral RACB ensures greater coherence of efforts by the Government of Sri Lanka to implement the NRIFAP and provides regular and timely information on its execution. - The same approach was used when establishing the Task Forces (TFs) and TWGs. Inter-sectoral coordination has ensured that all views of all stakeholders were considered during the NRIFAP development and has thus ensured a consensus on the final document.

Please provide a narrative of the most significant lessons learned relating the **technical dimensions** of the national Programme during implementation: [150 words]
The most significant lessons learnt during the technical implementation of the (MRV component) are as follows. - Willingness in data sharing by the stakeholder institutions without hesitation. This enabled efficient construction of the NFMS. - South-south collaboration approach with FSI was very successful and can potentially be replicated further within the region.

Please provide a narrative of the most significant lessons learned relating to the **REDD+ readiness process** during implementation of the national Programme: [150 words]
- The first year of the NP implementation was very slow with the setup of the PMU and many awareness raising and communication events. REDD+ readiness activities accelerated in the second year of the NP with the study on the drivers of D&D which was the basis for subsequent analysis. Without this delay, the NP could have been concluded within the planned 3-years. - Technical support received from the Regional Technical Advisors of the 3 agencies was well appreciated by both the PMU and the stakeholders. Changes of RTA may have sometimes delayed some activities - Having international experts was a strong asset for the PMU and has allow a smooth implementation of the technical components of the readiness phase.

Please provide a narrative of the most significant lessons learned relating to **anchoring REDD+** in the national development process: [150 words]
- NRIFAP was developed by considering the national priorities such as Sri Lanka Next: towards a Blue Green Era, Punarudaya and the Wanaropa Programmes. NRIFAP is directly supporting the government's key target of increasing the current forest cover of 29.7% to 32%. - Key REDD+ coordinating bodies should be institutionalized with the approval of a cabinet paper (drafted but not yet approved). This process should have started earlier in the readiness phase.

- The current composition of 41 members in the RACB appears excessive for in-depth discussion on Programme direction and guidance for national REDD+ activities. The final evaluation recommends 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.

Please provide a narrative of the most significant lessons learned relating to the **implementation and sequencing** of national Programme support: [150 words]
- Several revisions have been made to the initial budget and work plan to ensure alignment with national circumstances and needs. These changes could have been avoided if all stakeholders were consulted at the time of the NPD preparation. In particular, sequencing of the different technical, institutional, legal studies had to be reviewed during the REDD+ Roadmap development. The new sequencing presented in the Roadmap has then been followed. - The NPD emphasized the piloting of REDD+ activities (PAMs implementation, NFI piloting, etc). We would like to flag the time constraints and capacity limitation of the PMU to handle readiness and piloting activities at the same time. - Some studies were surely planned in the NPD without any preliminary analysis of the local context and needs. For example, 'Study the meaning and applicability of the concept of 'carbon rights', 'Consult with stakeholders to promote and develop holistic land-use planning and strategies', 'Clarify land ownership/tenure rights in alienated lands to enable REDD+ activities and benefit sharing' have been dropped during the NP implementation

Please provide a narrative of any **other lessons** learned during implementation of the national Programme: [150 words]

3.1 Unforeseen Benefits or Unintended Consequences

Please provide a summary of any ancillary/unforeseen benefits or unintended consequences that may have become evident during implementation or conclusion of the national Programme. [150 words]

Unforeseen Benefits [150 Words]
- Professionals of similar fields but belonging to different institutions were brought together during the project implementation. Stakeholder forums, TFs as well the TWGs formed a common forum to meet and exchange their views. - Several consultations with the Government of Sri Lanka resulted in specific forestry sector inclusion into Sri Lanka's Nationally-Determined Contribution (NDC) to the Paris Agreement. The NRIFAP is aligned with the Sri Lankan NDC targets for the forestry sector. - South-South collaboration resulted in addressing NFI requirements better than expected during inception of the NP. Several other REDD+ and NFI implementing countries are proposing to learn from this experience. - NFMS geo-portal is widely used by variety of stakeholders including ministries/agencies for decision-making related to land use. - Funds for NRIFAP implementation have been raised through project proposal and discussion with the Government of Sri Lanka.

Unintended Consequences [150 words]

3.2 Inter-agency Coordination

This section aims to collect relevant information on how the NP is contributing to inter-agency work and "Delivering as One".

Was the NP in coherence with the UN Country Programme or other donor assistance framework approved by the Government? If not, please explain what measures were put in place to address this. [150 words]
Environmental sustainability and resilience is a focus area in the UNDAF Sri Lanka Country Programme for 2013-2017 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 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 addresses and expands on two priorities identified under the sustainability pillar of the Systematic Country Diagnostic: 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.

Please briefly summarize what types of coordination mechanism and decisions were taken to ensure joint delivery of the NP. [150 words]
Sri Lanka's institutional arrangements for REDD+ readiness have been defined in the NP with the creation of: - The REDD+ Programme Management and Coordinating Committee (RPMCC) - overall guidance and direction to the National REDD+ Readiness Process; - The Programme Executive Board (PEB) - overall guidance and direction to the UN-REDD Programme in Sri Lanka; - The Task Forces (TFs) and Technical Working Groups (TWGs) - advisory groups for the activities to be carried out during the readiness phase; - The Programme Management Unit (PMU) – implementation of the UN-REDD National Programme; - The stakeholder forums - principal representation, outreach and communication structures. Initially, the PMU has only established the PEB. The role envisaged for the RPMCC did not exist, since the UN-REDD Programme was the only REDD+ initiative in country and there were no strategic or coordination decisions to be made. Late in 2015, the PEB evolved into the REDD+ Advisory & Coordination Board (RACB), which took on the role originally envisaged for the RPMCC, and a narrow UN-REDD Steering Committee (SC) to continue as the decision-making body for the Sri Lanka UN-REDD Programme itself. In addition, meetings were conducted with implementing partners directly to improve close coordination for the specific activities. Weekly highlights were shared with all implementing partners and other key stakeholders and this created a platform for all to be aware on the major activities undertaken during a particular week.

Was a HACT assessment undertaken? If yes, to what degree was the HACT being taken up and by which agency? [150 words]
No. HACT assessment was not carried for this project though it was discussed at the initial stage of the NP.

3.3 Risk Narrative

This section aims to capture the key internal and external risks experienced by the Programme during implementation.

Please provide a summary of the key internal risks experienced by the NP as well as responses. [250 Words]
- Initially, a part-time remotely based CTA was supporting the NP. The PEB decided to hire a full-time CTA, supported by the mid-term review, to speed up the readiness process. The guidance received has contributed to the success and quality assurance of the NP outputs. - Different procedures of the 3 UN agencies has led to some unexpected issues/discrepancies in terms of procurement, consultant fees and planning. For example, UNDP-led activities were closed in 2016 though the official end of the NP was June 2017. This has caused some misunderstanding among the stakeholders but was effectively addressed by the PMU staff. - Some key staff of the PMU have resigned from their position before the end of the NP (National Programme Manager and Programme Assistant). This has led to additional work for other PMU staff but was overall a manageable internal risk.

Please provide a summary of the key external risks experienced by the NP as well as responses. [250 Words]

Organizational risks
    1. Lack of coordination among the government institutions to work jointly and support joint actions
This risk was reduced with the creation of 3 TFs (MRV, National Policies and Strategies and Communication) and subsequent TWGs and with the empowerment of the RACB to coordinate all REDD+ activities. REDD+ has succeeded in creating a common platform for different stakeholders to act together.
    2. Lack of willingness to share and harmonize data across the government institutions.
This risk was reduced with the signature of a data sharing agreement between the FAO and the main institutions owning data in Sri Lanka at the beginning of the readiness phase and by involving them in the different TFs and TWGs
 	
Operational risk
    3. Limited capacities to deal with technical areas (FRL, NFI, etc.)
This risk was reduced with the creation of the MRV TF under the guidance of an international and a national technical expert to provide additional support and to enhance and to promote capacity at national levels.
    4. Lack of past forest cover data and compatibility and convertibility.
Strong support from international advisors was given through the readiness phase on MRV-related technical elements. IPCC guidelines have been used and technological capacity has been developed.

4. 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 not applicable (N/A) any criteria that do not apply to the context of the country.

4.1 National Strategy or Action Plan

Supported by (select all applicable and provide details of Other Source): ☒ National Programme; ☐ Targeted Support; ☐ Other Source; ☐ Not Applicable
Please provide a brief description of the achievement made in developing a National REDD+ Strategy or Action Plan (NS/AP) as well as the source of the support provided in this regard:
REDD+ readiness efforts were concretized with the development of the national REDD+ Strategy - the National REDD+ Investment Framework and Action Plan (NRIFAP), a five year USD 99 million investment framework financed from both domestic and international sources. This 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, 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 exception forest biodiversity.

Indicator	Start[9]	End/Yes[9]	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+?	x		Not yet initiated	The NRIFAP was officially handed over to the Government of Sri Lanka on May, 9th 2017. Fundraising efforts are ongoing and the Government plan to start its implementation in 2018.
			Under design	
			Drafted, under deliberation	
		x	Adopted	
			Link to the NS/AP provided on the UNFCCC REDD+ Web Platform Info Hub	

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[9] Mark with an X, the progress indicated by the qualifiers at the start and end of NP implementation.

			Implementation in early stages	
			Full implementation of NS/AP	
Degree of completeness of national REDD+ strategies and/or action plans.		x	The NS/AP identifies, assesses and prioritizes the direct and underlying drivers of deforestation and forest degradation, as well as the barriers to the "plus" (+)[10] activities on the basis of robust analyses.	The D&D study was completed in 2014 and a fully edited version 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 NRIFAP presents a summary of the drivers of D&D based on a full assessment done in 2014 with the support of the NP.
		x	The NS/AP proposes a coherent and coordinated 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 NRIFAP identifies 13 PAMs within three key policy areas that will be implemented to help achieve Sri Lanka's vision. These PAMs represent the key measures to deliver emission reductions and removals as well as helping to 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.
		x	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.

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[10] Plus (+) activities within the context of REDD+ refer to conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks

		x	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 8th PEB meeting. They are presented in detail in the NRIFAP. It presents how the 4 REDD+ elements will be coordinated and the roles and responsibilities of the main stakeholders.
Degree to which the NS/AP incorporates principles of social inclusion and gender equality.		x	The NS/AP is developed through a multi-stakeholder, gender-responsive and participatory consultation and dialogue process.	Six stakeholder groups (GOSL, CSOs, private sector, IPs, academics and FDCs) have been consulted to support strategy development work. A study was initiated to seek possibilities of including gender considerations in the forestry sector. Annex 1 of the NRIFAP presents the extensive consultation process undertaken to develop the NRIFAP.
		x	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 and budgeted in the NRIFAP for implementation of PAMs with direct operations on the ground.
		x	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.
Degree of anchoring of the NS/AP in the national development policy and institutional fabric.		x	There is effective inter-ministerial coordination for REDD+ action.	The TF on NP&S and the RACB have already brought the different state agencies to a common platform.
		x	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. And has undergo a one-month public review. The official handing over of the NRIFAP has been organized under the authority of HE President of Sri Lanka, involving different Ministries and Agencies om 9th May 2017.
		x	REDD+ actions or targets are embedded in the national plan or policy for sustainable development.	The approach detailed in the NRIFAP is fully in line with key national strategies including Sri Lanka Next, a Blue-Green Era, as well as the commitments of the country made within its Nationally Determined Contributions under the UNFCCC. This includes achievement of critical targets such as the increase in national forest cover to 32%. 'Punarudaya' the 3 year Programme of the Ministry of MD&E encompasses most REDD+ actions.
		x	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. Through the 3 TWGs set up to develop the 13PAMs, a strong ownership of the non-forest related PAMs has been established. These agencies are all members of the RACB.
		x	Financing arrangements to start implementing the NS/AP (or to channel results-based finance) are designed.	Financial arrangements to receive and disburse REDD+ investments have been discussed and endorsed and built largely on existing national procedures. In addition, fundraising options have been identified and the Government of Sri Lanka is committed to support 40% of the total NRIFAP budget.

4.2 Safeguard Information System

Supported by (select all applicable and provide details of Other Source): ☒ National Programme; ☐ Targeted Support; ☐ Other Source; ☐ Not Applicable
Please provide a brief description of the achievement made in developing a Safeguard Information System (SIS) as well as the source of the support provided in this regard: 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 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, several safeguards and indicators were identified for inclusion in the SIS. A SIS structure was also developed and capacity building of identified institutions responsible for the SIS management was done.

Indicator	Start	End/Yes	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?	X		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. More in-depth analysis of the functional arrangements is planned for the beginning of the implementation phase.
		X	SIS objectives determined	
		X	Safeguard information needs and structure determined.	
		X	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.	

Degree of completeness of the design of a country approach to address the social and environmental safeguards for REDD+	N/A	Aligns with the NS/AP, covering the social and environmental benefits and risks of the policies & measures for REDD+ being considered by the countries.	Risks/benefits were identified through multi-stakeholder consultations at national and sub-national levels. These benefits/risks have been categorized according to their level (low, medium and high – combining their 'probability' and 'impact'). During the NRIFAP implementation, Sri Lanka will first focus its effort in reducing high-level risks and enhancing high-level benefits. Benefits and risks of PAMs will be iteratively re-assessed as they are modified and re-prioritised through 'learning by doing' of PAM's implementation through periodic revisions of the NRIFAP.
	N/A	Defines specific policies, laws and regulations (PLRs), as well as other measures, to address the identified benefits and risks.	This step involved identification and analysis of gaps, weaknesses and inconsistencies of the existing PLRs that are necessary to operationalize the Cancun safeguards. The analysis resulted in 47 recommendations for PLR gap-filling and strengthening, and specific agencies were identified as being responsible for managing the proposed reforms.
	N/A	Have institutional arrangements and/or capacities to implement those PLRs and to monitor the REDD+ safeguards.	Sri Lanka's SIS will be a central information compilation and reporting function coordinated by the Climate Change Secretariat of the MMDE. Primary and secondary data providers have also been identified.
	N/A	Transparently provides information on how safeguards are respected and addressed.	National safeguards criteria have been analysed against existing PLRs and their status addressed and respected) have been analysed.

4.3 Forest Reference Emission Level / Forest Reference Level

Supported by (select all applicable and provide details of Other Source): ☐ National Programme; ☐ Targeted Support; ☐ Other Source; ☐ Not Applicable
Please provide a brief description of the achievement 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, FRL TWG meetings were held to discuss FRL construction and report preparation guidelines. With the active involvement of FRL experts and FRL TWG, Sri Lanka constructed its FRL by December 2016. Major decisions on utilization of nationally prepared forest cover map and global land cover data (Hansen product) were taken during expert meetings. Three carbon pools (above ground biomass, below ground biomass and litter) were selected whereas soil carbon and dead wood was excluded due to non-availability of data. The TWG led the FRL development in parallel to a study on national circumstances. The final FRL was submitted to the UNFCCC in January 2017 and is currently under technical assessment.

Indicator	Start	End/Yes	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?	x		Not yet initiated	FRL capacity building were continuously organized through consultative process with experts on various stages of FRL construction. FRL construction completed in December 2016. Sri Lanka's FRL was submitted to the UNFCCC in January 2017. Details given in output 5.5.
			Capacity building phase	
			Preliminary construction phase	
			Advanced[11] construction phase	
			Submission drafted	
		x	Submitted to the UNFCCC	
Robustness of FREL/FRL submissions		x	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 the Technical Assessment team to re-construct FRL.
		x	Includes pools and gases, and REDD+ activities (Scope) and justification for omitting significant pools and/or activities.	Includes three carbon pools, above ground biomass, below ground biomass and forest litter. Soil organic carbon and dead wood carbon pools were not included due to non-availability of consistent national data.

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[11] FREL/FRL elements defined or at an advanced stage (scope, scale, forest definition, methodology and data compilation).

		x	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.
		x	Includes details of the forest definition used and national circumstances.	Yes, forest definition used in this FRL is consistent with national forest definition.
		x	Defines the geographic area covered by FREL/FRL (scale).	National FRL constructed

4.4 National Forest Monitoring System

Supported by (select all applicable and provide details of Other Source): ☒ National Programme; ☐ Targeted Support; ☐ Other Source; ☐ Not Applicable
Please provide a brief description of the achievement made in developing a National Forest Monitoring System (NFMS) as well as the source of the support provided in this regard:
A NFMS geo-portal was successfully established, forest cover maps produced and made available, and a NFI designed and initiated. As a result of thematic mapping capacity building exercises FD started preparation of a forest cover map for 2015. Survey Department prepared the land use maps for years 1985, 2000, 2005, 2010 and 2015 and these map data are now available to detect land use/land cover changes in a time series. Relevant government staff have been trained on operation of the NFMS web portal, especially on uploading new data. 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) have been used for NFMS development. All these data sets were utilized in the geo-portal development, which enables data dissemination for all three pillars of the NFMS – NFI, Satellite Monitoring System and Greenhouse Gas Inventory. The NFMS web geo-portal was launched in March 2017 and is now operational.
For the first time in Sri Lanka, a NFI was established for continuous terrestrial monitoring of forest resources and 400 plots were surveyed, through South-South collaboration with FSI. NFI manual was completed in English and translated into the Sinhala language..

Indicator	Start	End/Yes	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?	x		No	NFMS portal can generate preliminary information for MRV. It has been initialized in forest department and NFI design is incorporated.
			NFMS capacity building phase	
			Preliminary construction phase	
			Advanced[12] construction phase	
			NFMS generating preliminary information for monitoring and MRV	
		x	NFMS institutionalized and generating REDD+ monitoring and MRV (satellite land monitoring system, national forest inventory, greenhouse gas inventory)	
Degree of completeness of the		x	NFMS includes a Satellite Land Monitoring System (SLMS)	Yes
		x	NFMS includes a National Forest Inventory (NFI)	Yes
		x	NFMS includes a National GHG Inventory (GHGi)	It includes data required for GHG inventory

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[12] NFMS elements at an advanced stage (satellite land monitoring system, national forest inventory, greenhouse gas inventory).

NFMS in UN-REDD supported countries		x	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 resulting from the implementation of REDD+ activities;	Partially, it can provide data for estimating forest areas change with respect various stratification level agro-ecological zones and soil type.
		x	The NFMS is consistent with Intergovernmental Panel on Climate Change (IPCC) guidance and guidelines;	It has been developed following IPCCC guidelines.
		x	The NFMS enables the assessment of different types of forest in the country, including natural forest.	NFMS has temporal forest cover maps which can be utilized for assessment of forest types.

5.   Financial Delivery

The table below gathers information on the cumulative financial progress of the National Programme at the end of Programme implementation (including all cumulative yearly disbursements). Please add additional rows as needed.

Programme Outcome	UN Organization	Total Funds Transferred	Total Expenditure	Delivery Rate (%)
Outcome 1: National Consensus Reached on the National REDD+ Programme	FAO	155,000	150,882	97
	UNDP	105,000	105,468	100
	UNEP			
Sub-total		260,000	256,350	98
Outcome 2: Management Arrangements contributing to the National REDD+ Process	FAO	700,000	739,336	106
	UNDP	40,000	43,304	108
	UNEP			
Sub-total		740,000	782,640	106
Outcome 3: Improved Stakeholder Awareness and Effective Engagement	FAO			
	UNDP	220,000	195,933	89
	UNEP	373,000	373,000	100
Sub-total		593,000	568,933	96
Outcome 4: National REDD+ Strategy and Implementation Framework	FAO	270,000	268,721	100
	UNDP	490,000	497,402	102
	UNEP			
Sub-total		760,000	766,123	101
Outcome 5: Monitoring and MRV Results for REDD+ Activities Provided	FAO	1,285,000	1,249,508	97
	UNDP	60,000	73,086	122
	UNEP	40,318	40,317	100
Sub-total		1,385,318	1,362,911	99
Indirect Support Costs	FAO	168,700	168,591	100
(7% GMS)	UNDP	64,050	63,857	100
	UNEP	28,932	28,932	100
Indirect Support Costs (Total)		261,682	261,380	100
FAO (Total):		2,578,700	2,577,038	100
UNDP (Total):		979,050	979,050	100
UNEP (Total):		442,250	442,249	100
Grand TOTAL:		4,000,000	3,998,337	100

6.   Adaptive management

Referring to the deviations and delays indicated in the results framework above please provide a short narrative of delays encountered, the reasons for them and what actions were considered to alleviate their impact on the Programme. Please indicate if these were 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.

6.1 Delays and Corrective Actions

What delays/obstacles were encountered at country level? [100 words]
Delays were encountered during the Presidential Election in January 2015 and the General Election in August 2015. The absence of a full-time Chief Technical Advisor at the early stage of the NP and the long time taken to fill the position of the Communications Officer after departure of the former person in 2015 were obstacles, when moving forward according to the Work Plan. Delays were encountered during the readiness phase due to the delayed process of recruiting consultants to undertake studies and assessments both nationally and internationally. Hence some of the studies and activities were delayed and that led to the overall delay on the finalization of the NRIFAP.   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.   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.
Were any of the delays/obstacles raised and/or discussed at the Programme Steering Committee meetings? [100 words]
☒ Yes; ☐ No   At each PEB/SC meeting these constraints were tabled and possible solutions were discussed. At certain times, the PEB/SC members allowed PMU to revise budgets accordingly to take necessary actions to expedite the Programme activities.   In most cases, it was highlighted that the PMU could still roll out the annual work plan where activities can be implemented without the direct assistance of high level government officials. The recommendations of the Mid Term Review were also incorporated into the AWP where possible and it was helpful for the NP to address most of the reasons for the delays/obstacles. Restructuring of the PEB, getting IUCN's assistance to expedite the communications drive and improved team work are some of the achievements of the review recommendations.
What are the delays/obstacles anticipated in terms of their impact on the NP? [100 words]
- Delays in the recruitment of consultants led PMU technical officers to integrate some of these unplanned works in their TORs.   - Delays in the payment of the consultants' salaries   - Difficulties to ensure the participation of all RACB and SC members to each meeting   - For new senior officials, appointed after elections, awareness raising and orientation on REDD+ and the UN-REDD Programme had to be repeated.

How were these delays/obstacles addressed? [100 words]
The Programme Steering Committee decided to recruit a full time Chief Technical Advisor and the position was filled in April 2015. To speed up delivering communication products, and to improve the quality of the products (e.g. design, message, graphics/infographics), the Programme entered into a partnership with IUCN to support the Forest Department and PMU. A Communications Task Force was established to guide communications activities at the national level. 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. In addition, the following rules were followed by the PMU: - Annual planning of all missions, consultancies and studies - Preparation of consultants' TORs well in advance - Regular contact with RACB and SC members to ensure their involvement/ownership

6.2 Opportunities and Partnerships

During NP implementation, have any opportunities that were not foreseen in the design of the Programme been identified to help advance efforts on REDD+? [100 words]
The TWGs established played an important role in providing relevant direction to the PMU. In addition, the stakeholder forums and TFs 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 and through the 2 major chambers, PMU obtained private sector support for 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. Sri Lanka, as one of the pilot countries for Community-based REDD+ (CBR+), approved 8 grants. Lessons from the field highlighted community-based approaches to address local based drivers of deforestation and forest degradation. The identified CBR+ projects were implemented and the two knowledge management and capacity building institutions closely assisted the project grantees with the needed communication and capacity building requirements. Foundation of South-South collaboration was laid down by inviting FSI to design the NFI and train Forest Department of Sri Lanka for its implementation. This resulted in excellent relationships between the two countries and may provide more opportunities for NFI implementation in the future.
How were these opportunities being incorporated into the work of the NP? [100 words]
The TWGs were actively involved in the National REDD+ strategy and action plan development process. They 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.

A methodology to engage the private sector in a more meaningful manner was also devised, with the formation of the Private Sector Forum for REDD+ and the launch of the Grow-a-fighter campaign.

As a result of enhanced cooperation between two countries, FSI agreed to provide technical assistance for NFI data entry and analysis in future. Both countries have identified a focal point in respective departments who will communicate for further technical cooperation.

6.3 Measures to Ensure Sustainability of National Programme Results

Please provide a brief overall assessment of any measures taken to ensure the sustainability of the National Programme results during the reporting period. Please provide examples if relevant; these can include the establishment of REDD+ institutions expected to outlive the Programme and regulations, or capacities that will remain in place after the completion of the Programme.

Measures taken to ensure the sustainability of the National Programme. [150 words]
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 'exist 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 Government of Sri Lanka as also already added a new budget line for REDD+ related activities from 2018 onwards. 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. Mapping and monitoring as well as geo-portal hosting infrastructure support provided by the UN-REDD Programme ensures sustainability and continuity from Sri Lanka Government side. FAO has ensured that technical assistance for updating the NFMS geo-portal upon production of latest thematic maps by Sri Lanka will be provided. FSI has also agreed to extend its technical assistance for NFI data entry and analysis in future. Sri Lanka Forest Department has committed its national fund to implement NFI from 2nd year onwards.

The questions below seeks to gather relevant information on how the National Programme is putting into practice the principles of aid effectiveness through strong national ownership, alignment and harmonization of procedures and mutual accountability.

Are the national implementing partners and UN-REDD focal points involved in the planning, budgeting and delivery of the National Programme?

Programme Executive Board Established: ☒ Yes ☐ No

Date of Last Meeting: June, 21st 2017

Number of meetings annually: 4

Please explain what measures are in place to ensure national ownership: [150 words]

In addition to the institutional arrangements discussed above, extensive social media and traditional media campaigns have been strategically conducted to create a national sense of ownership of REDD+. This has resulted in public engagement and support for REDD+ in Sri Lanka.

Are the UN-REDD Programme's Guidelines for Stakeholder Engagement applied in the National Programme process?

☓ Fully ☐ Partially ☐ No

Please explain, including if level of consultation varies between non-government stakeholders: [150 words]

Guidelines for Stakeholder Engagement were used in a discretionary way and adapted to the local context.

Stakeholder identification, engagement and participation were in general very efficient. 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.

Programme sustainability depends on the extent to which sectorial counterparts, civil society representatives, private sector relevant to the REDD+ dynamic in the country and other relevant stakeholders are involved in the Programme's activities and ownership of strategic matters. In the box below please select applicable options and provide an indication of how these different sets of stakeholders are involved in and appropriate Programme activities.

☒ Member of the steering committee

During the REDD+ readiness phase, the UN-REDD National Programme worked with partners in government and civil society to establish four stakeholder forums to facilitate engagement of stakeholders - CSOs platform, Indigenous People forum, Private Sector forum and Academic and Research forum – which are all members of SC and the RACB.

The SC provided guidance to, and oversight of, the UN-REDD Programme in Sri Lanka, in its effort to support effective and efficient development of measures to engage with a future mechanism on REDD+. The UN-REDD SC appraised and approved the Programme's key documents, including annual and quarterly plans, budgets and semi-annual and annual reports, to ensure the delivery of the intended results and address critical issues and risks relevant to Programme implementation.

The RACB was regularly updated on the progress and key decisions and was responsible to ensure integration and appropriation of the NRIFAP in respective RACB members' organizations, with the overall objective of preparing them for its implementation.

☒ Member of technical or other advisory committees

Representatives of these forums were also part of some TFs and TWGs. They have been very active in providing inputs to all technical, institutional and legal analysis that have supported the NRIFAP development. All these forums will be part of REDD+ implementation and their roles and responsibilities is detailed in the NRIFAP.

☒ Implementing partner for some activities of the National Programme
The Survey Department was contracted to conduct forest boundary survey. (400km). IUCN was contracted to coordinate communication-related activities. SLCFAN was contracted to analyse the non-carbon benefits of forests in Sri Lanka and to establish a regional CSO network across the country.

6.4 National Programme and/or R-PP Co-Financing Information

If additional resources (direct co-financing) were provided to activities supported by the UN-REDD National Programme including new financing mobilized since start of implementation, please fill in the table below:

Sources of Co-Financing[13]	Name of Co-Financer	Type of Co-Financing[14]	Amount (US$)	Supported Outcome in the NPD	Year Mobilized

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[13] Indicate if the source of co-financing is from: Bilateral aid agency, foundation, local government, national government, civil society organizations, other multilateral agency, private sector, or others.

[14] Indicate if co-financing is in-kind or cash.

7.   Annex – UNDG Guidelines: Definitions

The following definitions for results based reporting from the UNDP Guidelines are to be used for the annual report:

- **Results:** A result is a describable or measurable change that is derived from a cause-and-effect relationship. There are three types of such changes – outputs, outcomes and impact – which can be set in motion by a development intervention.
- **Results Based Reporting:** Seeks to shift attention away from activities to communicating important results that the Programme has achieved at output and outcome levels. An effective results-based report communicates and demonstrates the effectiveness of the intervention. It makes the case to stakeholders and donors for continued support and resources.
- **Results Matrix:** An important aid in results-based reporting is the results matrix, which clearly articulates the results at output and outcome level and the indicators, baselines and targets. These items, along the review of indicators, assumptions and risks, should serve as guides for reporting on results.
  - **Outcomes:** Outcomes describe the intended changes in development conditions resulting from UNCT cooperation. Outcomes relate to changes in institutional performance or behavior among individuals or groups as viewed through a human rights-based approach lens.
  - **Outputs:** Outputs are changes in skills or abilities, or the availability of new products and services that are achieved with the resources provided within the time period specified. Outputs are the level of result in which the clear comparative advantages of individual agencies emerge and accountability is clearest. Outputs are linked to those accountable from them giving the results chain a much stronger internal logic.
  - **Indicators**: Indicators help measure outcomes and outputs, adding greater precision. Indicators ensure that decision-making is informed by relevant data.