# National Programme Annual Report –

# SRI LANKA

UN-REDD Programme

March 2015

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## 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 Organisations will also provide their electronic signature below, prior to submission to the UN-REDD Secretariat.

| | |
|---|---|
| Country: | Sri Lanka |
| National Programme Title: | Sri Lanka UN-REDD Programme |
| Implementing Partners[1]: | Forest Department of the Ministry of Environment and Renewable Energy (Lead implementing partner), Climate Change Secretariat (CCS), Climate Change Division of the Ministry of Environment and Renewable Energy, Department of Wild Life Conservation (DWLC) of the Ministry of Wildlife Resources Conservation. |

| Project Timeline | | | |
|---|---|---|---|
| Expression of Interest[2] | N/A | First Funds Transfer[3] | 03.04.2013 |
| R-PP Approval (by FCPF or PB) | 26.03.2012 | NP End Date[4]: | 02.04.2016 |
| NP Validation Meeting | 12.01.2012 | No-Cost Extension: | ☐ Yes  x No (Expected in 2015) |
| NP Approval by Policy Board | N/A | If YES - | Click here to enter a date. |
| NP Signature date | 27.02.2013 | Extension End Date: | |
| Start Date as outlined in inception workshop: | 07.06.2013 | Extension Duration: | Click here to enter a date. |

| Financial Summary (USD)[5] | | | |
|---|---|---|---|
| UN Agency | Approved Programme Budget[6] | Amount Transferred[7] | Cumulative Expenditures up to 31 December 2014[8] |
| *FAO* | *2,410,000* | *2,410,000* | 569,591 |
| *UNDP* | 915,000 | 915,000 | 235,609 |
| *UNEP* | 413,318 | 413,318 | 46,191 |
| *Indirect Support Cost (7%)* | 256,682 | 256,682 | 55,584 |
| *Total* | **4,000,000** | **4,000,000** | **906,975** |

| Electronic signatures from the designated UN organizations[9] | | | Electronic signature by the Government Counterpart |
|---|---|---|---|
| FAO | UNDP | UNEP | |
| | | | |
| Date and Name of Signatories in Full: | | | |
| Click here to enter a date. | Click here to enter a date. | Click here to enter a date. | Click here to enter a date. |

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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] If expression of interest information available - If information not available please insert N/A.
[3] As reflected on the MPTF Office Gateway http://mptf.undp.org
[4] Original end date stated in 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
[9] Each UN organisation is to nominate one or more focal points to sign the report. Please refer to the *UN-REDD Programme Planning, Monitoring and Reporting Framework* document for further guidance.

## 2. Results Based Reporting

This section aims to summarise the progress of the National Programme during the reporting period, summarise government and non-government comments and assessments and report on the delivery of the National Programme against the annual targets and indicators for the specific outcomes and outputs.

### 2.1 Summary of National Programme Progress

Please provide a brief overall assessment of the extent to which the National Programme is progressing in relation to expected outcomes and outputs, observed during the current reporting period versus the previous.

| Summary of National Programme Progress (500 words): |
| --- |
| The National Programme (NP) has established a Programme Executive Board (PEB) which consists of cross-sectoral public institutions, civil society and indigenous representatives. A Programme Management Unit (PMU) has been established to co-ordinate and manage activities under the leadership of the National Programme Director (NPD), who is the Conservator General of Forests. The Forest Department (FD) is the lead implementing partner, working closely with the Climate Change Secretariat (CCS) of the Ministry of Environment and the Department of Wildlife Conservation (DWLC). Activities accomplished include the establishment of the civil society platform (CSO Platform), indigenous peoples' forum (IP Forum) and a fully functional Task Force on Measurement, Reporting and Verification (MRV). An institutional review was carried out to review Sri Lanka's policies, policy instruments and institutional arrangements for REDD+, resulting in recommendations for institutional arrangements and adjustments necessary for effective implementation of a REDD+ strategy. A study on drivers of deforestation and forest degradation (D & D) was completed, and its findings were validated by a broad range of stakeholders during the reporting period. The study revealed several Policies and Measures (PAMs) which will be considered in the development of the roadmap for REDD+ implementation including, for example, improving current land use planning processes, developing home garden models suitable for deforestation hotspots and review of protected area management practice with respect to the handling of infrastructure development projects and encroachment. These key REDD+ policy-related discussions are led by the newly established Taskforce on Pubic Policies and Strategies whose membership consists of senior managers of relevant national sectorial institutions, in close consultation with the CSO platform and IP forum. A draft plan for private sector engagement has also been developed through interviews and consultations with relevant stakeholders, and will be finalized in the first quarter of 2015.

A MRV action plan was developed, which is being implemented under the direction of the MRV task force. A comprehensive capacity development programme is underway with number of training programmes conducted both locally and internationally covering areas such as Green House Gas (GHG) inventory, remote sensing, building tree allometric equations, Land Cover Classification Systems (LCCS) and National Forest Inventory (NFI) design.

A Communication Strategy for the Programme has been produced. A website for Sri Lanka REDD+ has been developed and is ready to be launched. A team of Environmental Journalists has been identified to facilitate dissemination of information on REDD+ through media. The Community Based REDD+ (CBR+) programme has been introduced to provide indigenous and non-indigenous local communities and civil society with funding assistance in supporting the participation of communities in the REDD+ process. A CBR+ National Steering Committee has been established, a draft CBR+ Country Plan developed through numerous consultations.

In December, the four Implementing Partners including the Forest Department initiated an internal review of the NP to take stock of critical issues, risks as well as good practices in the current Programme delivery structure and arrangements, and to recommend specific actions for improvement. Recommendations and an agreed action plan are expected to be available within the 1st quarter of 2015. |

### 2.2 Government and Non-Government Comments

The aim of this section is to allow government and non-government stakeholders to provide their assessment, comments and to provide additional and complementary information.

The implementation of the programme during the reporting year was highly successful as all major stakeholders had shown their interest in taking part in their responsible areas. It was noticed that Civil Society Organizations and Private Sector had developed much interest in joining REDD activities.

Major achievements during 2014 are the completion of Key studies, including Institutional Analysis study and study on Drivers of Deforestation & forest Degradation (D&D). They are expected to provide inputs for strategy development. Number of awareness workshops were conducted and extension materials were produced. With regard to the MRV component, lot of capacity building programmes and planning workshops were conducted. Representatives from different stakeholder organizations had participated in various overseas training programmes, workshops and seminars too.

Programme administration and inter agency coordination are commendable. Programme Executive Board (PEB) meetings were held in regular intervals. In addition, monthly progress review meetings organized by PMU were highly effective for the smooth implementation of the programme.

In view of the above, as the key implementing agency representing government of Sri Lanka, Forest Department is much satisfied with the progress achieved during 2014.

Anura Sathurusinghe
Conservator General of Forests
National Programme Director – Sri Lanka UN-REDD Programme

REDD is a new experience for the civil society organizations engage in environmental conservation in Sri Lanka. It has become an initiative to gather the groups engage in forest conservation and advocacy. However, REDD readiness phase which is under implementation in Sri Lanka currently, is challenging for all stakeholders. With much discussions and consultations, we launched the CSO platform on the 10th December 2013 with the presence of more than 40 organizations and elected a seven member Convening Committee to manage it. Two members among them (one male and one female) were selected to represent the Platform at the Programme Executive Board (PEB).

Convening Committee members and the network members had the opportunity to attend capacity building workshops and to bring the civil society voice into discussions to shape the REDD readiness phase in Sri Lanka. The outcomes of the major studies: Institutional Analysis, Drivers of Deforestation and Forest Degradation and the Community Based REDD + Country Plan brought much of the interest of the civil society organizations. Undoubtedly, our interventions brought much of the needed ground experience, information and the civil society voice to shape the outcomes of these final documents.

Lack of awareness on the climate change and the REDD approach is a major vacuum for active stakeholder engagement in the REDD process. This includes various principles including the Free Prior Informed Consent (FPIC) and the safeguards. CSO platform mobilized several awareness programmes with the Forest Department to make the CSOs aware on the REDD and climate change. While these gatherings created a platform for the forest officers and the civil society to discuss issues and make plans for future jointly, it also facilitated to maintain the momentum for renewing relationships between the two parties.

Capacity building is a major requirement for civil society to intervene in various stages of the REDD process. The opportunities created by the REDD process at the international level such as a) Asia-Pacific Workshop on Women's Inclusion for Sustainable Forests and Climate: What Works?, held on March 26-27 2014 in Bangkok b) REDD+ Regional Workshop of Civil Society Organizations of the Asia-Pacific held in Nepal from 28th to 30th

August c) REDD Academy training held in Jakarta in October 2014 and d) the Landscape training held in RECOFTC, Bangkok, Thailand in December 2014, built the capacity of the selected members of the CSO platform. PMU has planned to pass this knowledge through the future programmes to the rest of the members in the platform which will be useful in engaging in carbon and non-carbon project under REDD approach.

Lack of a separate budget for the CSO platform to operate as an independent body was a major challenge. We had to face difficulties in organizing platform activities due to this fact. Platform has not been registered as a separate entity yet. This was a bottleneck for us to receive funds from the REDD programme or raise funds separately. CSO platform has now decided to get registered as a separate entity to allow independent fundraising and fund management from REDD+ funds as well as other local and international sources.

The yearlong experience brought renewed hopes and the opportunity for conserving the remaining forest cover, whether or not Sri Lanka is going to be qualified for receiving carbon benefits. It is also a new opportunity for the conservation community to better engage in climate actions beyond REDD and also focus on non-carbon benefits of the forests in Sri Lanka. It also built a momentum for halting forest encroachment and move towards sustainable development. Finally it is also a momentum for the people to renew their relationship with the nature and the forests as a nation that its nature based livelihoods still playing a major role of the economy.

Hemantha Vithanage
Executive Director, Centre for Environmental Justice
CSO Representative in the PEB and the Chair – CSO Convening Committee

## 2.3 Results Framework

The results framework matrix aims to measure progress made in the reporting year against annual targets for outcomes and outputs identified in the National Programme document log frame following the inception meeting or mid-term review. If the log frame has been amended following a mid-term review, this should be mentioned above the output table. Requirements for the sections include:

- For each outcome, please provide the outcome title and a summary of the overall progress towards reaching the outcome. Please list each performance indicator, the associated baseline and expected target for the National Programme. Please indicate if the annual target has been met by ticking the relevant box. The annual report should indicate if the programme is on track, on the right trajectory, likely to meet its outcomes or not. It is not intended to report on an annual basis against the end target of the outcomes.
- For each output, please provide the output title and a summary of the progress towards achieving the specific output. Please list each performance indicator, the associated baseline and expected annual target for the output for the given reporting year. Please indicate if the annual output target has been met by ticking the appropriate box. Lastly, provide a narrative of the achievements of the annual target for the specific output. Please repeat this for each target for the output and all outputs for the outcomes.

<table>
<tr><td rowspan="6"><b>Outcome 1</b></td><td><b>Outcome Title:</b></td><td colspan="3"><b>National Consensus Reached on the National REDD+ Programme</b></td></tr>
<tr><td><b>Progress Towards Outcome:</b></td><td colspan="3">The Programme Executive Board (PEB) was formed in September 2013 and meets every quarter to review the progress and make decisions. The 23-member PEB, in the absence of other REDD+ initiatives in the country, serves the function of a national REDD+ Programme Management Coordinating Committee (RPMCC). A review of national legal, procedural, institutional and capacity needs arrangements for sectors relevant for REDD+ was carried out. A concept for the development of a National REDD+ Roadmap was developed, which will draw on the results of the institutional review, and a national consultant has initiated work on the Roadmap. The Programme is on course to achieve the outcome targets, through continuation of the consensus building exercises with established institutions such as PEB, CSO Platform, IP Forum, Task Forces (MRV and NP & S), Communications Network and Private Sector Representatives.</td></tr>
<tr><td><b>Outcome Performance Indicators[10]</b></td><td colspan="2"><b>Baseline[11]</b></td><td><b>Expected Outcome Targets[12]</b></td></tr>
<tr><td>1. Number of state and non-state entities actively supporting and contributing to REDD+ Readiness</td><td colspan="2">1. No agreed consensus on national REDD+ management arrangements</td><td>1. 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<br>National REDD+ Readiness becomes a cross-sectoral process and efforts (PEB decision was taken & to explore whether the PEB may play a role similar to RPMCC due to its extended scope of work)</td></tr>
<tr><td colspan="4">Has the expected target been met:   ☐Yes ☒ Partially ☐ Planned ☐ No</td></tr>
</table>

<table>
<tr><td rowspan="2"><b>Output 1.1</b></td><td><b>Output Title</b></td><td><b>Broad-based, multi-stakeholder national REDD+ advisory group established</b></td></tr>
<tr><td><b>Progress Towards Output:</b></td><td>The 23-member PEB, in the absence of other REDD+ initiatives in the country, serves the function of a national REDD+ Programme Management Coordinating Committee (RPMCC). The Task Force (TF) on National Policies and Strategies, with broad ministerial representation, may also take on some function of the RPMCC at a later date. More discussions on this decision will take place in the roadmap development process.</td></tr>
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[10] Qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of a programme or investment
[11] Information gathered at the beginning of a project or programme from which variations found in the project or programme are measured
[12] Specifies a particular value for an indicator to be accomplished by a specific date in the future E.g. Total literacy rate to reach 85% among groups X and Y by the year 2010

| Output Performance Indicators | Baseline | Expected Annual Targets |
|---|---|---|
| 1. ToR endorsed by the MOE & members of the RPMCC appointed; | 1. No advisory group, but draft ToR available | - Within 12 months ToR for the TF on NP&S drafted<br>- 4 PEB meetings (quarterly) conducted |
| Has the annual target been met:  ☒Yes ☐ Partially ☐ Planned ☐ No | | |
| **Achievements of Annual Target 1 for Output 1.1.**<br><br>With the objective of providing technical guidance and directions to studies, assessments and processes concerning public policy approaches and strategies related to the implementation of REDD+, the ToR for the Task Force on NP & S was endorsed by the members of the TF and the Task Force was established in October 2014. In addition 4 PEB meetings were conducted during 2014 and the major decisions, documents and proposals were reviewed and approved by the board members. | | |

| Output 1.2 | Output Title | **National legal, procedural, institutional and capacity needs arrangements for sectors relevant for REDD+ reviewed (i.e., agriculture, forestry and other land uses)** |
|---|---|---|
| | Progress Towards Output: | A review of Sri Lanka's policies, policy instruments and institutional arrangement for REDD+ was completed with a team of two national consultants under the direct supervision of the CTA, PMU and the regional advisory team. The final report was endorsed at a Validation Meeting held in August 2014 and a summary document has been prepared to serve as an input for the Roadmap development process. |

| Output Performance Indicators | Baseline | Expected Annual Targets |
|---|---|---|
| Strategic directions available for effective implementation of REDD+ Programme in Sri Lanka | 1 Limited capacity and gaps in implementing National REDD+ Readiness programme<br>Work initiated in R-PP preparation<br>Key guiding policies/programmes such as Haritha Lanka Programme, legal documents available for review.<br>Set of national guidelines for REDD+ programme management not available. | Within 12 months, recommendations are prepared based on reviews and consultations.<br><br>Within 18 months, a set of guidelines is developed and moving towards implementation |
| Has the annual target been met:  Yes  x Partially ☐ Planned ☐ No | | |
| **Achievements of Annual Target 1 for Output 1.2.**<br><br>The concept paper for the study was prepared and approved. The review 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 is available as part of the basis for development of the national REDD+ Roadmap. | | |

| Output 1.3 | Output Title | **National REDD+ Roadmap prepared** |
|---|---|---|
| | Progress Towards | A concept note for the Roadmap was developed and approved with the assistance of CTA, PMU and the regional advisers. Based on this, the ToR for a |

| | | |
|---|---|---|
| **Output:** | national consultant was also prepared and approved. The consultant was recruited to undertake the assignment. The initiation of this work was delayed until the study on drivers of deforestation and forest degradation was completed. | |

| Output Performance Indicators | Baseline | Expected Annual Targets |
|---|---|---|
| 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. |

Has the annual target been met**:**     Yes ☐ Partially X Planned ☐ No

**Achievements of Annual Target 1 for Output 1.3.**

The concept paper and the ToRs were drafted and approved with the assistance of the CTA, PMU and regional advisers. The consultant was also hired during the reporting period. The methodology, inputs and personnel required to undertake Roadmap preparation are in place. The initiation of the Roadmap was delayed due to difficulties in procurement of a consultant and subsequently by preparations for the presidential election in Sri Lanka.

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**Outcome 2**

| Outcome Title: | Management Arrangements contributing to the National REDD+ Process | |
|---|---|---|
| **Progress Towards Outcome:** | The National REDD+ Process is currently underway and PMU is managing the entire readiness programme with the assistance of the National Programme Director while PEB is providing the operational leadership. Meetings and workshops of Task Forces (TFs), PMU staff and implementing partners for coordination and capacity building are held regularly. TF on Measurement, Reporting and Verification (MRV) continues to meet regularly. The TF on NP & S was also established. The findings of the Institutional Review (Output 1.2) will set the foundation to develop the Capacity Building Action Plan (CBAP). | |

| Outcome Performance Indicators[13] | Baseline[14] | Expected Outcome Targets[15] |
|---|---|---|
| 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 |

Has the expected target been met**:**     ☐Yes ☒ Partially ☐ Planned ☐ No

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**Output 2.1**

| Output Title | UN-REDD Programme implementation arrangements established | |
|---|---|---|
| **Progress Towards Output:** | PMU was fully staffed and functional within the first 6 months. Continuous monitoring, planning and reporting was done through weekly and monthly meetings and through regular communication with implementing partners and government institutions such as External Resources Department, Forest Department and Ministry of Environment and Renewable Resources. The TF on MRV was fully operational and the TF on NP&S was established. | |

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[13] Qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of a programme or investment

[14] Information gathered at the beginning of a project or programme from which variations found in the project or programme are measured

[15] Specifies a particular value for an indicator to be accomplished by a specific date in the future E.g. Total literacy rate to reach 85% among groups X and Y by the year 2010

There are still capacity gaps among the PMU staff members which need to be addressed.

| Output Performance Indicators | Baseline | Expected Annual Targets |
|---|---|---|
| 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 | Two meetings/workshops for coordination and capacity building are held monthly. |

**Has the annual target been met:**    xYes  Partially ☐ Planned ☐ No

**Achievements of Annual Target 1 for Output 2.1.**

The TF on NP & S was established to provide the overall direction and guidance to strategy setting activities under the NP. Regular meetings, reporting, and consultations on specific events were held with programme implementing partners. One officer from the PMU went to Bangkok to attend a workshop on gender organized by the Asia-Pacific Network & USAID. Communications Officer of the PMU attended two training programmes on developing communications materials in March 2014. National Consultant/MRV participated in a training on GHG inventory on LULUCF sector organized by the Climate Change Secretariat of the Ministry of Environment. The capacities of the PMU staff members require further development in order to achieve programme objectives.

|  | | | |
|---|---|---|---|
| **Output 2.2** | **Output Title** | **Capacity Building Action Plan developed for REDD+ (linked to Output 1.2)** | |
| | **Progress Towards Output:** | This assignment was postponed to 2015 due to the delayed completion of the D&D Study. Draft TOR for the CBAP exercise was developed and the work will be initiated in early 2015 with the consideration of the outcomes of the Institutional Review. | |
| | **Output Performance Indicators** | **Baseline** | **Expected Annual Targets** |
| | 1. A REDD + management structure, institutional arrangements and required competencies for institutions (out put 1.2) approved by RPMCC | 1. No capacity assessment done | Within 10 months, a REDD+ management structure and required competencies are identified and approved by RPMCC.<br><br>Within 12 months, a CBNA completed. |
| | **Has the annual target been met:**    ☐Yes ☐ Partially ☐ Planned ☒ No | | |
| | **Achievements of Annual Target 1 for Output 2.2.**<br>The components required to establish the REDD+ management structure have been identified. CBAP exercise postponed to 2015 **to** build on the Roadmap work, which will identify specific institutions and their particular roles and responsibilities in implementing REDD+,  to design highly targeted capacity development plans for those institutions | | |

|  | | |
|---|---|---|
| **Outcome 3** | **Outcome Title:** | **Improved Stakeholder Awareness and Effective Engagement** |
| | **Progress Towards Outcome:** | Stakeholder groups were identified and effectively engaged in the REDD+ process. Awareness raising sessions for PEB members, senior government officials, private sector and CSOs led to meaningful participation and involvement in UN-REDD activities. CSO Platform and IP Forum were initiated, allowing targeted communication and engagement with these specific stakeholder groups. A communication strategy and consultation plan were prepared and validated. A communication network was formed with development partners and government institutions, leading to coordination and |

| | | improved collaboration on the development and sharing of information on REDD+. | | |
|---|---|---|---|---|
| | **Outcome Performance Indicators**[16] | **Baseline**[17] | | **Expected Outcome Targets**[18] |
| | 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 |
| | **Has the expected target been met:** ☐Yes ☒ Partially ☐ Planned ☐ No | | | |

| | **Output Title** | **Strategic communication and consultation plan prepared** | | |
|---|---|---|---|---|
| **Output 3.1** | **Progress Towards Output:** | Key target groups for awareness raising and information sharing have been identified. A communication network was formed with development partners and government institutions. A communications strategy was approved by the network members and also endorsed by the PEB. Communications plan was prepared and suitable communication formats, products and feedback/evaluation mechanisms identified. A web developer was identified and the contract was awarded to develop a Trilingual REDD+ website. A team of environmental journalists identified raising awareness targeting the general public. Baseline survey on REDD+ conducted and analysis is in progress. | | |
| | **Output Performance Indicators** | **Baseline** | | **Expected Annual Targets** |
| | 1. Well-structured work plans for Communications Network and activities based on the Communication Strategy and adjusted to national circumstances. | 1. Not REDD+ specific but some communication materials and processes are available | | - Within 9 months communications network established<br>- Within 12 months the trilingual website and the communications strategy developed |
| | **Has the annual target been met:** ☐Yes ☒ Partially ☐ Planned ☐ No | | | |
| | **Achievements of Annual Target 1 for Output 3.1.**<br><br>Major target groups identified and the senior government officials/policy makers were prioritized. Communications network established and the review of communications materials initiated through the network members. The communications strategy was developed and the web developer for the trilingual website identified. | | | |

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[16] Qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of a programme or investment
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[18] Specifies a particular value for an indicator to be accomplished by a specific date in the future E.g. Total literacy rate to reach 85% among groups X and Y by the year 2010

| | | | |
|---|---|---|---|
| | **Output Title** | Stakeholder engagement in REDD+ readiness process enhanced (incl. FPIC, the private sector engagement) | |
| | **Progress Towards Output:** | CSO Platform & IP Forum have been established. Efforts were made to strengthen these networks' knowledge, skills and abilities to engage with the national programme. A number of awareness raising sessions were organized for senior officials of the government departments and CSOs for meaningful participation and involvement in UN-REDD activities. CSO Convening Committee developed an annual work plan for 2014, gathered 4 times during the reporting period and discussed challenges faced, and options to engage more constructively with the national programme. Consultancy to develop private sector engagement plan commenced, with a final plan expected in the first quarter of 2015. A national stakeholder engagement officer was recruited to support better participation by, among others, the CSO Platform and IP Forum. In addition to operationalizing the National Programme, the office also supported the development of a CBR+ Country Plan, | |

| Output Performance Indicators | Baseline | Expected Annual Targets |
|---|---|---|
| 1. Representatives stakeholder forums identified/developed and contributions of the forums are considered by the PEB/RPMCC in its decision making | 1. preliminary consultation workshops and processes during R-PP preparation mainly at national level | - Within first 12 months appropriate stakeholder forums identified and implement capacity building training programme |

**Output 3.2**

Has the annual target been met**:** ☐Yes ☒ Partially ☐ Planned ☐ No

**Achievements of Annual Target 1 for Output 3.2.**

The CSO and IP PEB representatives selected from the CSO Platform and the IP Forum continue to provide feedback to various studies conducted under the National Programme. Where necessary, relevant capacities of these members and forum were developed to ensure the knowledge, skills and abilities to participate in these consultations are present and strengthened. These PEB members ensure their constituencies' concerns are discussed and considered in the decision making process. Based on information collected about the membership of the CSO Platform, efforts will be made to broaden civil society representation in wider technical areas.

| 2. FPIC guidelines developed | 2. preliminary consultation workshops and processes during R-PP preparation mainly at national level | N/A |
|---|---|---|

Has the expected target been met**:** ☐Yes ☐ Partially ☐ Planned ☒ No

**Achievements against Annual Target 2 for Output 3.2.**

To ensure better cohesion with recent UNFCCC requirements in the national context, plans to develop FPIC guidelines were postponed to 2015. The work is expected to commence after emerging results from the work on roadmap, safeguards and grievance redress mechanisms are available.

| 3. Grievance handling mechanism operational | 3. preliminary consultation workshops and processes during R-PP preparation mainly at national level | N/A |
|---|---|---|

Has the expected target been met**:** ☐Yes ☐ Partially ☒ Planned ☐ No

**Achievements against Annual Target 3 for Output 3.2.**
The ToRs were developed, reviewed and approved by the NPD, PMU, CTA and regional advisors.

| Outcome 4 | Outcome Title: | National REDD+ Strategy and Implementation Framework | | |
|---|---|---|---|---|
| | Progress Towards Outcome: | The Roadmap development work has been initiated during the year and the several important discussions have been conducted with stakeholders of state sector, CSOs and the private sector to obtain their perspective of the REDD+ process. The outcomes of the major studies will be directly utilized in the preparation of the road map and subsequently the National REDD+ Strategy preparation. The study on drivers of D&D was conducted and its findings were validated by a wide range of national stakeholders, based on which strategic action planning activities will begin in early 2015 to identify and prioritise REDD+ policies and measures, options for REDD+ fund management and social and environmental safeguards.  For those upcoming streams of work, ToRs and concepts notes were developed and finalised during the latter part of the year | | |
| | Outcome Performance Indicators[19] | Baseline[20] | | Expected Outcome Targets[21] |
| | A comprehensive National REDD+ Strategy together with implementation plans, and validated with stakeholders; | National REDD+ strategy not available. | | within 36 months, the National REDD+ strategy and implementation plans are fully supported by all relevant stakeholders |
| Has the expected target been met**:**    ☐Yes  ☒ Partially ☐ Planned ☐ No | | | | |

| Output 4.1 | Output Title | Drivers of deforestation and forest degradation, and legal and policy alignment needs identified | | |
|---|---|---|---|---|
| | Progress Towards Output: | The assessment of drivers of Deforestation & forest Degradation (D&D) was conducted. Several consultative sessions with the state sector stakeholders, CSOs and Private sector entities have been done and the validation workshop was held and the report was finalized. The report has identified several drivers of deforestation and also policies and measures (PAMs) to address the same including, for example, improving current land use planning processes, developing home garden models suitable for deforestation hotspots, and reviewing protected area management practice with respect to the handling of infrastructure development projects and encroachment. A study will be commissioned to prioritize the PAMs in the 1st Quarter of 2015. | | |
| | Output Performance Indicators | Baseline | | Expected Annual Targets |
| | 1. 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; | 1. No assessment of drivers, opportunity costs, or gap analysis on policy and measures<br><br>Biodiversity and ecosystems assessments, preliminary consultations during R-PP preparation | | - Within 12 months an analysis of drivers of D&D is completed |
| | Has the annual target been met**:**     ☒Yes ☐ Partially ☐ Planned ☐ No | | | |
| | **Achievements of Annual Target 1 for Output 4.1.** | | | |

---

[19] Qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of a programme or investment

[20] Information gathered at the beginning of a project or programme from which variations found in the project or programme are measured

[21] Specifies a particular value for an indicator to be accomplished by a specific date in the future E.g. Total literacy rate to reach 85% among groups X and Y by the year 2010

An analysis of drivers of D&D is completed and the final report was validated by a wide range of stakeholders. A more detailed analysis of localised drivers will be carried out in the identified hotspot locations to identify and prioritise potential REDD+ policies and measures. Many participants during the validation meeting commented that the study findings would serve beyond REDD+ to support overall forest and land-use planning and management in the country as this was the first attempt to provide an overview of drivers of D&D across the entire country in recent decades. This study together the result of Output 1.2 provides the bases for the upcoming work streams on REDD+ finance management, safeguards, PAMs, co-benefits, and national circumstances for FRELs/FRLs..

| Output 4.2 | Output Title | Land tenure and use rights clarified towards the benefit sharing of REDD+ | |
|---|---|---|---|
| | Progress Towards Output: | The concept note for the proposed study was developed and endorsed. | |
| | Output Performance Indicators | Baseline | Expected Annual Targets |
| | 1. A detailed report describing different land tenure patterns in Sri Lanka is available | 1. Unclear land tenure and land rights in rural areas | N/A |
| | Has the annual target been met: ☐Yes ☐ Partially ☒ Planned ☐ No | | |
| | The concept note for the proposed study was developed and endorsed. | | |

| Output 4.3 | Output Title | Options for addressing deforestation and forest degradation at sub-national level identified | |
|---|---|---|---|
| | Progress Towards Output: | The NP initiated a district awareness programme on the REDD+ strategy development process. Four districts were covered in 2014. These included discussions on climate change & its impacts, deforestation & forest degradation issues, REDD+ readiness process and the role of CSOs in the REDD+ process. A Community-based REDD+ (CBR+) country plan was also developed with the active participation of the CSO Platform members and the draft final report was made available during the year. | |
| | Output Performance Indicators | Baseline | Expected Annual Targets |
| | 1. Number of options for addressing drivers of deforestation and forest degradation, stakeholder engagement, technical approaches at sub-national level identified. | 1. Some REDD+ relevant lessons already generated | - Within 12 months at least 20% of identified options are considered in the preparation of REDD+ strategy |
| | Has the annual target been met: Yes ☐ Partially ☐ Planned ☒ No | | |
| | **Achievements of Annual Target 1 for Output 4.3.**<br><br>The study on drivers of D&D identified preliminary potential policies and measures to address some of the identified drivers and causes of D&D However, the CBR+ Country Plan, developed through national and sub-national consultations, has prioritised two key outcomes related to participatory processes and actions to address drivers of deforestation and forest degradation. More importantly, the Country Plan has also prioritised geographical areas to disburse grants based on hotspots identified in the drivers of deforestation and forest degradation study. Emerging lessons from CBR+ grants will inform the development of the roadmap.<br><br>A proposal was submitted to the PEB to revise the budgets under this output to link the NP & CBR+ grants by providing funding to develop the CBR+ CP with the support of | | |

one NC & one IC. This budget revision was made to support coordination between the NP and CBR+ in leveraging CBR+ results into REDD+ PAM design and demonstration efforts.   This output will be redesigned once PAMs are identified and prioritized for relevant demonstration/ground testing activities. In addition it also allocated some funds to place a Stakeholder Engagement Officer to strengthen the Stakeholder engagement activities. This revision was approved by the PEB.

| | | |
|---|---|---|
| **Output Title** | **Options for equitable and transparent benefit sharing identified** | |
| **Progress Towards Output:** | N/A | |

| Output Performance Indicators | Baseline | Expected Annual Targets |
|---|---|---|
| 1. A set of policy recommendations on benefit sharing mechanism is approved by the RPMCC | 1. Some relevant lessons from other sectors | N/A |

**Output 4.4**

Has the annual target been met:    ☐Yes ☐ Partially ☐ Planned ☒ No

**Achievements of Annual Target 1 for Output 1.1.**

N/A

| | | |
|---|---|---|
| **Output Title** | **National REDD+ Strategy  developed** | |
| **Progress Towards Output:** | N/A | |

| Output Performance Indicators | Baseline | Expected Annual Targets |
|---|---|---|
| 1. Officially endorsed National REDD+ strategy available | 1. No REDD+ roadmap, strategic actions identified during RPP preparation | N/A |

**Output 4.5**

Has the annual target been met:    ☐Yes ☐ Partially    Planned ☒ No

**Achievements of Annual Target 1 for Output 1.1.**

N/A

**Outcome 5**

| | | |
|---|---|---|
| **Outcome Title:** | **Monitoring and MRV Results for REDD+ Activities Provided** | |
| **Progress Towards Outcome:** | Work on adopting a national forest definition and enhancing the MRV capacities of national stakeholders is currently in progress. Various capacity building events have been conducted and a proper data sharing mechanism established. Comprehensive progress has been made by providing relevant trainings for developing a NFMS and historical land use and land cover data development for REL and RL are also in progress. | |
| **Outcome Performance Indicators[22]** | **Baseline[23]** | **Expected Outcome Targets[24]** |

---

[22] Qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of a programme or investment

| | | | | |
|---|---|---|---|---|
| | Number of key guidelines/manual s, systems and procedures and capacity development programs endorsed by RPMCC; | No Monitoring and MRV results developed . | Within 36 months, a complete set of technical guidelines/manuals , systems and procedures together built institutional and individual capacities are in place to support full implementation of NFMS, MRV and safeguards | |
| | Has the expected target been met**:** ☐Yes ☒ Partially ☐ Planned ☐ No | | | |

<br>

| | | |
|---|---|---|
| **Output 5.1** | **Output Title** | **MRV process initiated** |
| | **Progress Towards Output:** | The MRV Action Plan has been completed. Implementation of the Action Plan commenced, and enhancement of the MRV capacities of national stakeholders is ongoing. |

| **Output Performance Indicators** | **Baseline** | **Expected Annual Targets** |
|---|---|---|
| 1. A set of technical guidelines/instruction manuals available | 1. No MRV process in Sri Lanka | - Within 12 months general capacities among MRV stakeholders enhanced |

Has the annual target been met**:** ☒Yes ☐ Partially ☐ Planned ☐ No

**Achievements of Annual Target 1 for Output 5.1.**

MRV action plan and GHG data inventory catalogue were developed to analyse capacity building needs within programme implementing partners. Based on this analysis, a training package was developed focused on activity data preparation for GHG inventory. Training programmes on tree allometric equations development, 'R' software, Land Cover Classification Systems (LCCS) and national forest monitoring were conducted for over 50 selected government technical officers directly involved in the preparation of national instruments such as NFI, NFMS, GHG inventory and Land Cover Classification.

<br>

| | | |
|---|---|---|
| **Output 5.2** | **Output Title** | **National forest monitoring systems established** |
| | **Progress Towards Output:** | Training on Remote Sensing & GIS in relation to land use land cover classification and change detection provided to stakeholders locally and internationally. |

| **Output Performance Indicators** | **Baseline** | **Expected Annual Targets** |
|---|---|---|
| 1. National forest monitoring system available A set of pre-tested technical guidelines/instruction manuals available | 1. No Satellite Forest Monitoring System in Sri Lanka | Within 12 months specific training on forest cover monitoring provided |

Has the annual target been met**:** ☒Yes ☐ Partially ☐ Planned ☐ No

**Achievements of Annual Target 1 for Output 5.2.**

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[23] Information gathered at the beginning of a project or programme from which variations found in the project or programme are measured
[24] Specifies a particular value for an indicator to be accomplished by a specific date in the future E.g. Total literacy rate to reach 85% among groups X and Y by the year 2010

| | | | |
|---|---|---|---|
| | National capacity to operate a satellite land monitoring system has been developed through training programmes to 20 staff of government implementing partners, including on Remote Sensing for data development, GIS for data analysis and GPS for ground truth collection. | | |

| | **Output Title** | **National forest inventory  designed** | |
|---|---|---|---|
| **Output 5.3** | **Progress Towards Output:** | Based on the needs identified in the MRV Action Plan, the skills of national implementing partners required for design and implementation of a NFI have been built, including statistical software, allometric equation development procedures and pilot projects to design the shape and size of the sample plot for NFI. | |
| | **Output Performance Indicators** | **Baseline** | **Expected Annual Targets** |
| | 1. National Forestry Inventory is designed, field inventory manuals are developed and adequate technical tools are developed to assess emission factors | 1. No existing national forest inventory to provide emission factors | - Within 12 months required data for forest inventory collected and necessary training provided |
| | Has the annual target been met**:** ☐Yes ☒ Partially ☐ Planned ☐ No | | |
| | **Achievements of Annual Target 1 for Output 1.1.**<br><br>The required training for the data collection has been provided | | |
| | | | |
| **Output 5.4** | **Output Title** | **National circumstances  considered for REL/RL** | |
| | **Progress Towards Output:** | N/A | |
| | **Output Performance Indicators** | **Baseline** | **Expected Annual Targets** |
| | 1. Assessment report  on national circumstances  addressing different scenarios available for future implementation | 1. National circumstances analysis is not adapted for REDD+ | N/A |
| | Has the annual target been met**:** ☐Yes ☐ Partially ☐ Planned ☐ No | | |
| | **Achievements of Annual Target 1 for Output 1.1.**<br><br>N/A | | |

| | **Output Title** | **National REL/RL tested** | |
|---|---|---|---|
| **Output 5.5** | **Progress Towards Output:** | N/A | |

| | Output Performance Indicators | Baseline | Expected Annual Targets |
|---|---|---|---|
| | 1. Nationally agreed REL/RL available | 1. No REL/RL exist in Sri Lanka | N/A |
| | Has the annual target been met: ☐Yes ☐ Partially ☐ Planned ☐ No | | |
| | **Achievements of Annual Target 1 for Output 1.1.**<br><br>N/A | | |

| | | | | |
|---|---|---|---|---|
| **Output 5.6** | **Output Title** | **Framework for social and environmental risk mitigation and potential multiple benefit enhancement  designed** | | |
| | **Progress Towards Output:** | N/A | | |
| | Output Performance Indicators | Baseline | Expected Annual Targets | |
| | 1. A set of pre-tested, nationally appropriate safeguards are endorsed and used by the national REDD+ programme. | 1. No safeguards in place | N/A | |
| | Has the annual target been met: ☐Yes ☐ Partially ☐ Planned ☐ No | | | |
| | **Achievements of Annual Target 1 for Output 1.1.**<br><br>N/A | | | |

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

### 3.1 Progress against Warsaw Framework

This section aims to provide insight and to support a thought process into how the National Programme is helping the countries progress against the framework of the convention, namely: 1) a National REDD+ Strategy or Action Plans; 2) a Forest Reference Emission Level/ Forest Reference Level; 3); a National Forest Monitoring System and 4) Safeguards and Safeguards Information Systems. Not all these areas are supported by the National Programmes, however efforts can be undertaken with domestic or other resources. The checklists are indicative and not always applicable to each country. They can be supplemented by qualitative information.

| National REDD+ Strategy or Action Plans | |
|---|---|
| Brief assessment of the extent to which the National Programme is supporting the country in developing a National REDD+ Strategy or Action Plan. (150 words)<br><br>Work towards a national strategy was initiated through the completion of the study on drivers of Deforestation and forest Degradation, and the review of institutional, policy, legal and regulatory environment in the context of REDD+.  The conclusions of these two exercises will contribute to the development of the national REDD+ strategy and action plan.  The national REDD+ Roadmap currently under initiation will provide the guidance for remaining work which is required for development of the strategy. | Does the country have a National REDD+ Strategy or Action Plans:<br>☐ Yes ☐ Partially ☒ No<br>If Yes: Date of Completion: Click here to enter a date.<br><br>Please select the following that apply:<br>1.  Drivers of Deforestation and Forest Degradation Established[25];<br>2.  ☒ National Focal Point or National REDD+ Entity Appointed;<br>3.  ☒ Regular Stakeholder Meeting/Workshops held;<br>4.  ☐ Free, Prior and Informed Consent (FPIC) advanced;<br>5.  ☐ Strategic REDD+ options, policies and measures, and/or  REDD+ activities have been identified;<br>6.  ☒ Institutional arrangements to plan and implement REDD+ activities have been established.<br>7.  ☐ Other: Click here to enter text. |
| **Forest Reference Emission Levels/ Forest Reference Level (FREL/FRL)** | |
| Brief assessment of the extent to which the National Programme is supporting the country in developing a forest reference emission level and forest reference level. (150 words)<br><br>Digitizing of land use maps of 1980s is now completed. Work to prepare two other land use sets for years 2000 and 2012 is to be commenced. In order to support this activity, studies and training on land cover classification system (LCCS) have been held. Further, NP has been able to build capacity among 20 key government officers in GIS and Remote Sensing techniques for collecting data on forests and other land cover types. | Does the country have Forest Reference Emission Levels / Forest Reference Levels:<br>☐ Yes ☐ Partially   ☒ No<br>If Yes: Date of Completion: Click here to enter a date.<br><br>Please select the following that apply:<br>1.  ☐ A national forest definition for REDD+ has been adopted;<br>2.  ☐  Scope of the activities of the FREL/FRL have been defined;<br>3.  ☐ The scale of the FREL/FRL (national/subnational) has been defined; |

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[25] The drivers of deforestation and forest degradation have been defined through national processes/analysis and consensus has been established through a multi-stakeholder approach.

| | 4. ☐ FREL/FRL data has been compiled (emission factors and historical activity data); |
| | 5. ☒ A methodology for identifying FREL/FRL has been identified; |
| | 6. ☐ A timeline for submission to the UNFCCC has been established; |
| | 7. ☒ Other: Necessary input data have been partially compiled |

## National Forest Monitoring Systems (NFMS)

| Brief assessment of the extent to which the National Programme is supporting the country in developing a National Forest Monitoring System. (150 words) | Does the country have a National Forest Monitoring System: |
|---|---|
| | ☐ Yes ☒ Partially ☐ No |
| | If Yes: Date of Completion: Click here to enter a date. |
| The work has already begun and the major capacity building programme has been completed. Over 50 government staff officers have the capacity to carry out forest cover monitoring and mapping by application of remote sensing, development of tree allometric equations and use of 'R' statistical software. Work on the design of the National Forest Inventory (NFI) has started through stakeholder consultations. | Please select the following that apply: |
| | 1. ☒ A Land Monitoring System in place to assess activity data; |
| | 2. ☐ Ground-based information to determine Emission Factors is available (e.g. national forest Inventory, permanent sample plots, etc); |
| | 3. ☒ National GHG Inventory in place[26], in particular for LULUCF sector; (currently it is for LUCF sector) |
| | 4. ☐ Information produced by the NFMS is transparent and made available to stakeholders. |
| | 5. ☒ The NFMS is supported by institutional arrangements at national level. |
| | 6. ☒ Other: Forest cover mapping (excluding other land use types) has been done by the Forest Department at regular intervals (in 1992, 1998, and in 2010) |

## Safeguards Information System (SIS)

| Brief assessment of the extent to which the National Programme is supporting the country in developing a Safeguards Information System. (150 words) | Does the country have a Safeguards Information System (SIS): |
|---|---|
| | ☐ Yes ☐ Partially ☒ No |
| | If Yes: Date of Completion: Click here to enter a date. |
| N/A | Please select the following that apply: |
| | 1. ☐ The SIS takes national circumstances into account; |
| | 2. ☐ The SIS provides transparent and consistent information that is accessible to all relevant stakeholders and updated on a regular basis; |
| | 3. ☐ The SIS is flexible enough to allow for improvements over time; |

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[26] The National Greenhouse Gas (GHG) inventory is in place and includes estimates of anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks, forest carbon stocks and forest area changes.

| | 4. ☐ The SIS is country driven;<br>5. ☐ The SIS is implemented at national level;<br><br>6. ☐ The SIS builds upon existing systems, as appropriate.<br>7. ☐ Other: Click here to enter text. |
| --- | --- |

### 3.2 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 23-member PEB, covering all key national-level stakeholders, ensures sustainability of the national programme through its role as the foundation for a future multi-stakeholder forum for oversight of a national REDD+ programme. There has been significant progress in terms of the level of engagement of PEB members during the 5 meetings conducted so far. In addition, the TFs on MRV and NP&S, Communications Network, CSO Platform, IP Forum and the private sector representatives are entities which help to ensure sustainability of results of the NP.<br><br>The current capacity building programme towards the GHG inventory and the National Forest Monitoring System (NFMS) could be considered as two other key results which contribute to sustainability. The capacities thus developed will be institutionalised within the programme's implementing partners.<br><br>An internal review of the NP is underway which will help the PMU and implementing partners to further improve the sustainability of the NP. Several other measures taken by the PMU such as weekly meetings with the PMU staff, frequent conference calls with the CTA and the regional advisers, monthly meetings with the UN agencies and the FD and also joining the FD monthly meetings assured the smooth functioning of the NP and its alignment with the wider programme of the FD and other implementing partners. NPD has assigned different components of the NP to his 5 senior officers and delegated authority to make necessary decisions. |

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<br>If YES – Date of Last Meeting: 16.12.2014<br>Frequency of Meeting (Number of Meetings annually): quarterly: 4 per year<br><br>Please explain what measures are in place to ensure national ownership: (150 words)<br>The PEB is a key guarantor of national ownership. The roadmap development process has already started looking into the mandates of the partner institutions and incorporating REDD+ into their on-going programmes. Both UNDP and UNEP funds are channelled through the FD and this has given some ownership and responsibility to the government counterpart to engage in the programme more meaningfully. NPD has already allocated his senior officials for different components of the NP to oversee the progress. District level CSO awareness campaigns were fully organised by the respective District Forest Officer (DFO) and his staff together with CSO platform members in the district. TFs are chaired by the government officers and all the REDD focal points from the respective government agencies meet monthly to discuss the progress. |

| Are the UN-REDD Programme's Guidelines for Stakeholder Engagement applied in the National Programme process? |
|---|
| ☒ Fully ☐ Partially ☐ No<br><br>Please explain, including if level of consultation varies between non-government stakeholders: (150 words)<br>There are two forums currently established as NGO stakeholders: CSO Platform and the IP Forum. Both institutions were established according to the principles outlines in the guidelines. On-going efforts ensure these two stakeholder groups are equipped and able to participate effectively during consultations. The NP is going even further to seek options to effectively engage with the private sector in addressing drivers of D&D and supporting Sri Lanka's REDD+ efforts jointly. Members of academia are also actively engaged in the process through providing technical feedback through TFs and other |

stakeholder consultations.

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 section 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
☒ Member of technical or other advisory committees
☒ Implementing partner for some activities of the National Programme

Please explain, including if level of consultation varies between non-government stakeholders: (150 words)
All major stakeholder institutions are a part of the PEB which is the highest level decision making body of the NP. In addition, all those stakeholders are invited to the validation of the outcomes of major studies, reviews and analyses and their consensus are reached before finalization.  All major reports, documents are shared among them and whenever needed they are translated into local languages for meaningful participation.

The CSO platform represents members from all local regional and national level institutions but all work according to the CSO platform ToR and the mandates agreed at the National Briefing sessions. Decision making is done collectively on a majority basis, and the 7-member Convening Committee leads the sessions. One man and one woman represent the CSO Platform at the PEB. IP members take collective decisions within the IP Forum and the Chief of the Forum represents this constituency at the PEB

## 4. Financial Information

### 4.1 Financial Delivery

In the table below please provide up-to-date information on activities completed based on the Results Framework included in the signed NPD; as well as financial data on planned, committed and disbursed funds. The table gathers information on the cumulative financial progress of the National Programme implementation at the end of the reporting period (including all cumulative yearly disbursements). Please add additional rows as needed.

| IMPLEMENTATION PROGRESS | | | | | |
|---|---|---|---|---|---|
| Programme Outcome | UN ORGANISATION | Amount Transferred by MPTF to Programme | Cumulative Expenditures as of 31 December 2014 | | |
| | | | Commitments28 | Disbursement29 | Total Expenditures |
| | | | (B) | (C) | (B+C) (D) |
| Outcome 1 | FAO | 155000 | | 8082 | 8082 |
| | UNDP | 105000 | 10646 | 38997 | 49643 |
| | UNEP | 0 | | | 0 |
| Sub-total Outcome 1 | | 260000 | 10646 | 47079 | 57725 |
| Outcome 2 | FAO | 700000 | | 240808 | 240808 |
| | UNDP | 40000 | | 0 | 0 |
| | UNEP | 0 | | | 0 |
| Sub-total Outcome 2 | | 740000 | 0 | 240808 | 240808 |
| Outcome 3 | FAO | 0 | | | 0 |
| | UNDP | 220000 | 27403 | 63730 | 91133 |
| | UNEP | 373000 | | 46191 | 46191 |
| Sub-total Outcome 3 | | 593000 | 27403 | 109921 | 137324 |
| Outcome 4 | FAO | 270000 | | | 0 |
| | UNDP | 490000 | 19271 | 72622 | 91893 |
| | UNEP | 0 | | | 0 |
| Sub-total Outcome 4 | | 760000 | 19271 | 72622 | 91893 |
| Outcome 5 | FAO | 1285000 | | 320700 | 320700 |
| | UNDP | 60000 | | 2940 | 2940 |
| | UNEP | 40318 | | | 0 |
| Sub-total Outcome 5 | | 1385318 | 0 | 323640 | 323640 |
| Indirect Support Cost (7% GMS) | FAO | 168700 | | 39871 | 39871 |
| | UNDP | 64050 | | 12480 | 12480 |
| | UNEP | 28932 | | 3233 | 3233 |
| Indirect Support Costs (Total) | | 261682 | | 55584 | 55584 |
| FAO (Total) | | 2578700 | | 609462 | 609462 |
| UNDP (Total) | | 979050 | 57320 | 190769 | 248089 |
| UNEP (Total) | | 442250 | | 49424 | 49424 |
| Grand Total | | 4000000 | 57320 | 849655 | 906975 |

### 4.2 National Programme and/or R-PP Co-Financing Information

If additional resources (direct co-financing) are 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[27] | Name of Co-Financer | Type of Co-Financing[28] | Amount (US$) | Supported Outcome in the NPD |
|---|---|---|---|---|
| **Government of Sri Lanka** | | **Grant** | 500,000 | **Outcome 2** |
| **Government of Sri Lanka** | | **In kind** | 1,000,000 | **Outcome 1 – 50,000**<br>**Outcome 4 – 300,000**<br>**Outcome 5 – 650,000** |
| **FAO** | | **Grant** | 15,000 | **Outcome 1** |
| **UN-REDD (FAO)** | | **Grant** | 13,900 | **Outcome 5** |
| **UNDP** | | **In kind** | 15,000 | **Outcome 1** |
| **UNV Italy** | | **Grant** | 50,000 | **Outcome 1 – 25,000**<br>**Outcome 2 – 25,000** |

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[27] 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.
[28] Indicate if co-financing is in-kind or cash.

## 5. Risks/Issues Identification & Management

For each risk category, please identify any relevant internal and external risks affecting the implementation of the National Programme. For each identified risk, please clarify whether it is a risk or issue and provide a probability and impact rating. Please also indicate whether mitigation measures or actions are in place or planned. Please add/remove rows as required.

The following risk and issue definitions are adopted:

- A **risk** is something that *might happen*. It has a probability (or likelihood) of happening and if it does there will be a certain impact (may be positive or negative).
- An **issue** is something that *has happened* (or is happening right now). It does not have a probability but it will have an impact. If an issue identified, please indicate probability as N/A.

### 5.1 External Risks/Issues

| Themes | | Identified Risks/Issues<br>• The examples provided are generic risk examples and are not specific to any one country. | Risk / Issue | Probability<br>1 = Low<br>5 = High | Impact<br>1 =Low<br>5 =High | Mitigation Measures/Actions<br>☐ Checkbox |
|---|---|---|---|---|---|---|
| **External Risks** | Political | • Change of government/policy in Member States, | ☐Risk<br>☒Issue | 4 | 4 | ☐Measures/Actions in place;<br>☐Measures/Actions planned;<br>☒No measures/actions; |
| | | • Political instability | ☒Risk<br>☐Issue | 3 | 5 | ☐Measures/Actions in place;<br>☐Measures/Actions planned;<br>☒No measures/actions; |
| | Economic | • Fluctuation of exchange rates;<br>• Effect of global economy on activities. | ☐Risk<br>☐Issue | N/A | N/A | ☐Measures/Actions in place;<br>☐Measures/Actions planned;<br>☐No measures/actions; |
| | Socio-cultural | • Demographic change affects demand for services; stakeholder expectations change on leaders. | ☐Risk<br>☐Issue | N/A | N/A | ☐Measures/Actions in place;<br>☐Measures/Actions planned;<br>☐No measures/actions; |
| | Technological | • Obsolescence of current systems;<br>• Ability to seize opportunity arising from technological development. | ☐Risk<br>☐Issue | N/A | N/A | ☐Measures/Actions in place;<br>☐Measures/Actions planned;<br>☐No measures/actions; |
| | Legal or regulatory | • Regulation changes, laws/regulations which impose requirements. | ☐Risk<br>☐Issue | N/A | N/A | ☐Measures/Actions in place;<br>☐Measures/Actions planned;<br>☐No measures/actions; |
| | Environmental | • Environmental / natural hazards;<br>• Buildings / waste disposal / purchases need to comply with changing standards. | ☐Risk<br>☐Issue | N/A | N/A | ☐Measures/Actions in place;<br>☐Measures/Actions planned;<br>☐No measures/actions; |
| | Security | • Loss / damage / theft of physical assets; | ☐Risk | 1 | 4 | ☒Measures/Actions in place; |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | • Staff security. | ☒ Issue | | | ☐ Measures/Actions planned;<br>☐ No measures/actions; |

## 5.2 Internal Risks/Issues

| Themes | | Identified Risks/Issues | Risk / Issue | Probability<br>1 = Low<br>5 = High | Impact<br>1 =Low<br>5 =High | Mitigation Measures/Actions<br>☒ Checkbox |
|---|---|---|---|---|---|---|
| Internal Risks | Strategic | • Vague or unclear objectives for the Organization;<br>• Scanning: Failure to identify threats and opportunities; | ☐ Risk<br>☐ Issue | N/A | N/A | ☐ Measures/Actions in place;<br>☐ Measures/Actions planned;<br>☐ No measures/actions; |
| | | • Positioning / visibility: Failure to position the organization in the international arena; | ☐ Risk<br>☐ Issue | N/A | N/A | ☐ Measures/Actions in place;<br>☐ Measures/Actions planned;<br>☐ No measures/actions; |
| | Programmatic | • Un-adapted, ill-conceived or overly ambitious sector programmes;<br>• Programmes outside the scope; | ☒ Risk<br>☐ Issue | 2 | 4 | ☐ Measures/Actions in place;<br>☒ Measures/Actions planned;<br>☐ No measures/actions; |
| | Operational | • All risks relating to existing operations – both current delivery and building and maintaining capacity and capability;<br>• Failure to deliver the service to the user within agree/set terms;<br>• Failure to deliver on time/budget/specification. | ☐ Risk<br>☒ Issue | 3 | 3 | ☐ Measures/Actions in place;<br>☒ Measures/Actions planned;<br>☐ No measures/actions; |
| | Operations / business process | • Inadequate project management;<br>• Lack of forward planning; | ☐ Risk<br>☒ Issue | 3 | 4 | ☐ Measures/Actions in place;<br>☒ Measures/Actions planned;<br>☐ No measures/actions; |
| | Management and information | • Unsatisfactory communication among parties involved;<br>• Coordination with/within Government, UN agencies;<br>• Lack of leadership from responsible officers;<br>• Poor activity and output management;<br>• Poor Governance/Decision Making; | ☐ Risk<br>☒ Issue | 2 | 4 | ☐ Measures/Actions in place;<br>☒ Measures/Actions planned;<br>☐ No measures/actions; |
| | Organisational / General Administration | • Dividing up of common budget earmarked for one theme/field of activity between several teams / sectors reduces delivery possibilities and ability for effective follow-up. | ☐ Risk<br>☒ Issue | 2 | 5 | ☐ Measures/Actions in place;<br>☐ Measures/Actions planned;<br>☒ No measures/actions; |
| | Human Capital | • HR (staff capacity / skills / recruitment);<br>• Ability to attract and retain qualified staff;<br>• Loss of institutional memory if short-term staff are not retained or consultants employed; | ☐ Risk<br>☒ Issue | 2 | 4 | ☐ Measures/Actions in place;<br>☐ Measures/Actions planned;<br>☒ No measures/actions; |
| | Integrity | • Risks relating to regularity and propriety / compliance with relevant requirements / ethical considerations / transparency; | ☒ Risk<br>☐ Issue | 1 | 5 | ☒ Measures/Actions in place;<br>☐ Measures/Actions planned; |

| | | | Risk / Issue | | | ☐ No measures/actions; |
|---|---|---|---|---|---|---|
| | | • Corruption and fraud. | | | | |
| | Information technology | • Reliability of information used for project management / monitoring;<br>• Risks linked to information (inadequate information preventing sound decision making, lack of privacy and data protection, unreliable or inadequate databases and IT technology). | ☒ Risk<br>☐ Issue | 3 | 3 | ☒ Measures/Actions in place;<br>☐ Measures/Actions planned;<br>☐ No measures/actions; |

## 5.3 Internal & External Risks/Issues

| Themes | | Identified Risks/Issues | Risk / Issue | Probability<br>1 = Low<br>5 = High | Impact<br>1 =Low<br>5 =High | Mitigation Measures/Actions<br>☐        Checkbox |
|---|---|---|---|---|---|---|
| **Internal & External Risks** | Relationships and partnerships | • Delivery partners (threats to commitment to relationship / clarity of roles);<br>• End users (satisfaction with delivery);<br>• Accountability (particularly to Governing Bodies). | ☐ Risk<br>☒ Issue | 2 | 3 | ☐ Measures/Actions in place;<br>☒ Measures/Actions planned;<br>☐ No measures/actions; |
| | Financial | • Insufficient project funding, poor budget management;<br>• Inadequate use of funds, failure to deliver activity within a set budget frame. | ☐ Risk<br>☒ Issue | 3 | 3 | ☐ Measures/Actions in place;<br>☒ Measures/Actions planned;<br>☐ No measures/actions; |

### 5.4 Risk Narrative

| Key External Risks and Responses |
|---|
| Please briefly summarise the key current external difficulties (not caused by the National Programme) that may delay or imped the quality of implementation. (250 words)<br><br>Meeting the expectations of a diverse multi-stakeholder audience has always been a challenge. Lack of coordination at the top level of key institutions working in the environment sector has been an issue.<br><br>There is a lack of qualified and experienced national personnel necessary to undertake important studies required under the programme. The PMU has tried several avenues, including headhunting, to secure the best human resources, with mixed success. Regular transfer of officers in government departments jeopardises the sustainability of technical capacity building exercises.<br><br>The current changing political environment of the country has become a challenge to get the senior level officials involved in the process as expected. The recent changes of technical positions at the state departments have led to loss of trained staff for the NP's work. The change of the government as a result of the recent presidential election, the proposed constitutional amendment, and upcoming general election will present challenges for timely implementation of programme activities.<br><br>These issues and risks are currently being discussed through the internal review. It is expected to recommend specific measures to improve the effectiveness and efficiency of the Programme delivery structure and arrangements in early 2015. Following this review, the programme will likely submit an extension request, depending on how external circumstances unfold. Ensuring effective capacity transfer and knowledge management combined with constant and progressive capacity building will be critical. |

| Key Internal Risks and Responses |
|---|
| Please briefly summarise the key current internal difficulties (not caused by the National Programme) that may delay or impede the quality of implementation. (250 words)<br><br>A full-time CTA has become critical to the national programme in order to enhance technical coordination between the five outcomes of the programme. Compared to MRV, the low engagement by national counterparts in safeguards, communication and knowledge may be attributed to the absence of task forces in these areas. However, the necessity for these task forces should be considered in light of the availability, diversity, and capacity of national counterparts.<br><br>The national programme receives funds from the 3 UN agencies through 3 different funding modalities. This presents a significant challenge for the government implementing partner (FD). |

| Key Issues and Responses |
|---|
| Please briefly explain the actions that are or will be taken to eliminate or manage the issues (internal and external) referred to above. (250 words)<br><br>Continuous engagement of the key actors through the PEB and programme activities meaningfully, could mitigate the lack of coordination at the top level of key institutions working in the environment sector. Consulting all stakeholders for major decisions will always eliminate the feeling of non-ownership of the programme activities.<br><br>Recruitment process of a full-time CTA is underway, and the position will be filled in early 2015.<br><br>More Training of Trainers (TOT) programmes are being considered as a means to ensure transfer of knowledge within the departments and building up of second line leadership has also been considered as a measure to ensure the sustainability. |

## 6. Key Lessons

This section aims to capture the most significant lesson 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.

| Significant lessons learned in the context of the National Programme |
| --- |
| Please provide a narrative of the most significant lessons learned. Include explanations of what was learnt, why the lesson is important, and what has been done to document or share those lessons. (500 words) |

REDD+ and the UN-REDD Programme are not understood well by the stakeholders, including PMU staff and PEB members. Without this understanding, there is a high risk that the programme's outcomes, even if successfully achieved, will not result in the objective of enhancing REDD+ Readiness and enabling national decision-making regarding a REDD+ Strategy. Development of simple training modules, focused on the potential impacts and benefits of the programme, is proposed. These messages should explicitly convey the position that the current phase is about national capacity development for a future REDD+ mechanism, and that there are therefore inherent limitations on the scope of work and potential benefits in the current phase. This national-level programme will partly draw on REDD+ Academy products.

The prevailing view is that the programme is a Forest Department initiative. This needs to be changed. The roles of the other two implementing partners, DWLC and CCS, and government bodies from other sectors, should be further highlighted. Also, those institutions responsible for finance and development planning will need to be brought into the discussion in coming months as the NP starts the work on REDD+ finance and PAMs that looks beyond the forest sector. Towards this end, a more formal and regular consultation process between the implementing partners should be established as part of the programme management structure.

The Task Forces to guide the technical aspects of REDD+ Readiness are a vital part of the management structure and should be identified and established without delay. The need for TFs should be periodically reviewed by the PEB/PMU.

Enhancing the awareness of CSO members on REDD processes is a priority, as it is a group that is keen to engage in the REDD process. Since the CSO platform could be meaningfully engaged for work at the grassroots level, the PEB should identify implementation responsibilities for them.

## 7. Inter-Agency Coordination

The aim of the questions below is to collect relevant information on how the National Programme is contributing to inter-agency work and "Delivering as One".

| Is the National Programme in coherence with the UN Country Programme or other donor assistance framework approved by the Government |
| --- |
| ☒ Yes ☐ No |
| If not, please explain and what are the measures to address this: (150 words) Click here to enter text. |

| What types of coordination mechanisms and decisions have been taken to ensure joint delivery? |
| --- |
| Please reflect on the questions above and add any other relevant comments and examples if you consider it necessary: (150 words) |

The major decisions of the programme are taken with the participation of all the key stakeholders. PEB meetings, Joint agency meetings taken place monthly are two examples. Major documents are shared for comments and revisions among all the key relevant parties vis e-mails, consultations, workshops, etc. Validation meetings which are organized at the ned of each study assignments are good examples.

| Has a HACT assessment been undertaken? |
| --- |
|  |

☐ Yes  ☒ No
If Yes, to what degree is the HACT being taken up and by which agency: (150 words)
Click here to enter text.

## 8. KPIs (NP by Numbers)

This section is designed to assess and aggregate quantitative performance indicators relating to annual delivery of the National Programme. These relate to governance, capacity development and technical capacity, supporting the qualitative information provided in the previous sections and are intended to respond to requests from the Policy Board to better quantify and disaggregate the reach of the UN-REDD Programme. For *each* section please include the value*,* when data is available, for each year since NP start date up until the current reporting year. Please mark Not Available where such information has not been collected.

### 8.1 Governance KPIs

| Indicator | Year 1 (2013) | Year 2 (2014) | Year 3 (xxxx) | Year 4 (xxxx) | Total |
|---|---|---|---|---|---|
| Number of steering committee meetings held | 1 | 4 | | | 5 |
| Number of institutes represented in steering committee | 13 | 23 | | | 23 |
| Number of women members of the steering committee | 3 | 8 | | | 8 |
| Number of people actively engaged in advising on the development of the national strategy | | | | | |
| Number of civil society organizations actively engaged in different aspects of the programme (e.g. National Strategy, Defining RELs/FRELs, Steering Committee, Working Groups) | 7 | 10 | | | 10 |
| Number of sub-national REDD+ sensitization, awareness raising and capacity building initiatives. | | 4 | | | 4 |
| Other: Click here to enter text. | | | | | |

### 8.2 Capacity KPIs

| Indicator | Year 1 (2013) | Year 2 (2014) | Year 3 (xxxx) | Year 4 (xxxx) | Total |
|---|---|---|---|---|---|
| Number of people trained on REDD+ and climate change | Men:<br>Women: | Men: 85<br>Women: 65 | Men:<br>Women: | Men:<br>Women: | Men: 85<br>Women: 65 |
| Number of CSOs trained | | | | | |
| Number of REDD+ University events | | | | | |
| Number of national consultation workshops held | | | | | |
| Number of information notes produced | 1 | 21 | | | 22 |
| Number of information gathering events | | 2 | | | 2 |

| Number of stakeholders registered in the REDD+ database | | 7 Institutions | | | 7 institutions |
|---|---|---|---|---|---|
| Other: Click here to enter text. | | | | | |

## 8.3 Technical KPIs

| Indicator | Year 1 (2013) | Year 2 (2014) | Year 3 (xxxx) | Year 4 (xxxx) | Total |
|---|---|---|---|---|---|
| Total area potentially supported towards emission reduction (km$^2$) | N/A | N/A | N/A | N/A | N/A |
| Total forest area | N/A | N/A | N/A | N/A | N/A |
| Number of land use plots assessed through remote sensing | | | | | |
| Number of MRV training events | | 8 | | | 8 |
| Number of people trained on forest monitoring and MRV | | 150 | | | 150 |
| Number of CSOs trained on technical matters | | 1 | | | 1 |
| Number of people trained in NFMS for REDD+ | | 47 | | | 47 |
| Number of MRV training participants from CSOs | | 1 | | | 1 |
| Other: Click here to enter text. | | | | | |

## 9. 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 behaviour 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.