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## United Nations Development Programme

### Project Document for nationally implemented projects financed by the GEF Trust Fund

<b>Project title:</b> Managing together: Integrating community-centered, ecosystem-based approaches into forestry, agriculture and tourism sectors	
<b>Country:</b> Sri Lanka	<b>Implementing Partners:</b> Ministry of Environment
<b>Management Arrangements:</b> National Implementation Modality (NIM)	
United Nations Sustainable Development Framework (UNSDF) 2018 – 2022: Strategic Priority (Replacing UNDAF/Country Programme Outcome Driver 4: Enhancing Resilience to Climate Change and Disasters and Strengthening Environmental Management: <i>"By 2022, people in Sri Lanka, in particular the vulnerable and marginalized are more resilient to climate change and natural disasters and benefit from increasingly sustainable management of natural resources, better environmental governance and blue/green development"</i> )	
<b>UNDP Strategic Plan Signature Solution:</b> Signature solution 4: Promote nature-based solutions for a sustainable planet.	
<b>UNDP Social and Environmental Screening Category:</b> High	<b>UNDP Gender Marker:</b> 2
<b>Atlas Project ID (formerly Award ID):</b> 00117353	<b>Atlas Output ID (formerly Project ID):</b> 00114160
<b>UNDP-GEF PIMS ID number:</b> 5804	<b>GEF ID number:</b> 9372
<b>Planned start date:</b> 01 <sup>st</sup> January 2021	<b>Planned end date:</b> 01 <sup>st</sup> January 2025
<b>Expected date of Mid-Term Review:</b> 15 November 2022	<b>Expected date of Terminal evaluation:</b> 15 August 2024
<b>LPAC meeting date:</b> 26 May 2020	
<b>Brief project description:</b> Sri Lanka's biodiversity is globally significant both for its irreplaceability and its vulnerability. About 30% of the country's land area has been designated as protected, in a range of categories managed mainly by two government agencies, the Forest Department and the Department of Wildlife Conservation. It has long been recognized that protected areas are vital but not enough alone to conserve biodiversity and to maintain natural ecological processes. In particular, habitat modification through human activities in the surrounding landscapes and seascares threatens the effectiveness of individual protected areas whether marine or terrestrial. Government agency policies, and the activities of people in different production and development sectors often conflict not only with biodiversity conservation, but also with each other. The Managing Together Project aims to establish a holistic landscape approach to incorporating biodiversity conservation into planning and implementation in agriculture, tourism and forestry in the Malwathu Oya Basin of north-west Sri Lanka. The area includes major protected areas and significant populations of elephants and other globally significant species whose viability can only be ensured through such a coordinated approach. Although the access to this area was restricted during the recent 26 year civil war, tourists are now beginning	

to arrive in small numbers to an area where tourist infrastructure is limited. The project provides a valuable opportunity to establish social and environmental safeguards in time to avoid repeating damaging mistakes in tourism development in the south of the country. The project will work with national institutions to include in existing in-service and pre-service training programs the concepts and practice of "mainstreaming" – the routine and mandatory consideration of biodiversity and ecosystem services in decision-making and action across all government sectors. At district and divisional levels the project will work with government and civil society across multiple sectors and jurisdictions to "mainstream" biodiversity conservation into natural resources management and land-use planning in three separate parts of the Malwathu Oya Basin - two terrestrial (Ritigala to Mihintale and Giant's Tank/Madhu Road-Wilpattu) and one marine (Gulf of Mannar/Vankalai-Arippu-Silavaturai). Livelihoods-focused interventions will be used to link biodiversity conservation with socio-economic benefits. The key to success will be the project's innovative way of involving the public and local government jointly in planning and action. The project will set up and implement a long-term monitoring programme to track the impacts of the landscape approach, make necessary adjustments based on results in the three "trial landscapes", and establish a dissemination programme to encourage adoption of the modified approach in other parts of the country.

**FINANCING PLAN**

GEF Trust Fund	USD 3,346,700
UNDP TRAC resources	0
Cash co-financing to be administered by UNDP	0
<b>Total Budget administered by UNDP</b>	<b>USD 3,346,708</b>

**PARALLEL CO-FINANCING**

UNDP	USD 250,000
Government	USD 20,202,222
IUCN	USD 100,000
GIZ	USD 6,700,000
Biodiversity Sri Lanka	USD 2,000,000
Total co-financing	USD 29,252,222
<b>Grand-Total Project Financing (1)+(2)</b>	<b>USD 32,598,930</b>

**SIGNATURES**

<b>Signature:</b>  Dr. Anil Jasinghe, Ministry of Environment, Sri Lanka	<b>Agreed by Implementing Partner</b>	<b>Date/Month/Year:</b> 01 January 2021
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<b>Signature:</b>  Ms. Faiza Effendi, Officer-in-Charge, UNDP Sri Lanka	<b>Agreed by UNDP</b>	<b>Date/Month/Year:</b> 24 December 2020
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## Acronyms

AWP	Annual Work Plan
BIOFIN	Biodiversity Financial Initiative
CADEC	Coastal Aquaculture Development Training
CBO	Community Based Organisation
CC&CRMD	Coast Conservation and Coastal Resource Management
CCE	Community-based Conservation Experts
CD	Country Director
CEA	Central Environmental Authority
CKDu	Chronic Kidney Disease of Unknown Etiology
CR	Critically Endangered
CRIP	Climate Resilience Improvement Project
CTA	Chief Technical Adviser
DCD	Deputy Country Director
DD	Data Deficient
DLLUPC	Divisional Level Land Use Planning committee
DLUPC	District Land Use Planning Committees
DOA	Department of Agriculture
DSD	Divisional Secretariat Division
DWC	Department of Wildlife Conservation
EA	Executing Agency
EN	Endangered
END	Endemic
ERD	Department of External Resources
ESA	Environmentally Sensitive Areas Project
ESCOMP	(World Bank) Eco-systems Conservation and Management Project
ESIA	Environmental and Social Impact Assessment
FD	Forest Department
FEO	Federation of Environmental Organisations
FFPO	Fauna and Flora Protection Ordinance
FSMP	Forestry sector Master Plan of 1995
FVC	Focal Village Cluster
GCS	Global Conservation Status
GHG	Green House Gasses
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GMSL	Green Movement of Sri Lanka
GND	Grama Niladhari Division
GOE	General Operating Expenses
GOSL	Government of Sri Lanka
HCVF	High Conservation Value Forest
IA	Implementing Agency
IAS	Invasive Alien Species

IEO	Independent Evaluation Office
ILCA	International Landscape Conservation Design Adviser
IND	Indigenous
INRM	Integrated Natural Resource Management
ISEA	Integrated Strategic Environmental Assessment
ITI	Industrial Technology Institute
IUCN-SL	International Union for Conservation of Nature Sri Lanka Country Office
LC	Least Concern
LCO	Learning and Communication Officer
LCP	Landscape Conservation Planner
LLRC	Lessons Learnt and Reconciliation
LMORP	Lower Malwathu Oya Multi-Purpose Reservoir Project
LUPPD	Land Use Policy Planning Division
MASL	Mahaweli Authority Sri Lanka
MoE&WR	Ministry of Environment and Wildlife Resources
MTR	Mid-term Review
N/A	Not Applicable
NAQDA	National Aquaculture Development Authority
NARA	National Aquatic Resources Research and Development Agency
NBD	National Budget
NBSAP	National biodiversity Strategy and Action Plan
NCS	National Conservation status; National Conservation Strategy
NPD	National Project Director
NSC	National Steering Committee
NBSAP	National Biodiversity Strategic Action Plan
NE	Not Evaluated
NEP	National Environmental Policy of 2003
NIE	National Institute of Education
NIRP	National Involuntary Resettlement Policy
NPD	National Project Director
NPSFDP	Northern Province Sustainable Fisheries Development Project
NT	Near Threatened
NWP	National Wildlife Policy of 2000
OAI	Office of Audits and Investigations
PA	Protected Area
PB	Project Board
PAC	Project Appraisal Committee
PAP	Project Affected Persons
PE	Possibly Extinct
PIR	Project Implementation Report
PMU	Project Management Unit
POPP	Programme and Operations Policies and Procedures
PPTA	Project Preparation Technical Assistance

PRA	Participatory Rural Appraisal
PRF	Project Results Framework
RDO	Rural Development Officer
RR	Resident Representative
SES	Social and Environmental Standards
SGP	Small Grants Project
SHA	Self Help Approach
SHG	Self Help Groups
SLIDA	Sri Lanka Institute of Development Administration
SLITHM	Sri Lanka Institute of Tourism and Hotel Management
SLTDA	Sri Lanka Tourism Development Association
SLYCAN	Sri Lankan Youth Climate Action Network
TAC	Technical Advisory Committee
tCO <sub>2</sub> eq	Equivalent tons of CO <sub>2</sub>
TE	Terminal Evaluation
ToC	Theory of Change
TL	Trial Landscape
TNA	Training Needs Analysis
TSP	Tourism Strategic Plan
UECP	Upper Elahara Canal Project
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNFPA	United Nations Population Fund
UNSDF	United Nations Sustainable Development Framework
VES	Visual Encounter Survey Technique
VT	Vocational Training
VU	Vulnerable
WDO	Women's Development Officer
WNPZIP	(World Bank Wilpattu National Park and Influence Zone Management in Sri Lanka)

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## II. Development Challenge

### 2.1 Biodiversity on a crowded island

1. Sri Lanka, 65,610 km<sup>2</sup> in area, has exceptional biodiversity with extraordinarily high rates of endemism<sup>1</sup>. It has been recognized internationally for both the irreplaceability and the vulnerability of its biodiversity. The whole island is an Endemic Bird Area, and there are 70 Important Bird Areas<sup>2</sup>. Having lost more than 70% of its original habitat, Sri Lanka, together with the Western Ghats of India, is one of 36 global Biodiversity Hotspots<sup>3</sup>. Expansion of agriculture over the last two centuries has destroyed and fragmented Sri Lanka's forests, and the human population of 21 million is increasing at 1.1% per year<sup>4</sup> and is expected to reach 24 million by 2050. At 342 people per km<sup>2</sup> the country has the 12<sup>th</sup> highest population density of 49 Asian countries in Asia<sup>5</sup>.

### 2.2. Economic growth, poverty and the environment

2. Sri Lanka is a democratic republic and unitary state with an executive presidential system under which the President is both head of state and head of government. After early adoption of a market based economy in the late 1970's economic growth was affected by the 26 year civil war with Tamil separatists which ended in 2009. In the 2011-2016 National Development Policy Framework government recognized that the country cannot rely on economic growth alone, and aimed to preserve cultural values and traditions while developing a knowledge-based economy with better living standards for everyone. However, the current national development strategy, Vision 2025, puts increasing emphasis on growth, and foreign direct investment, notably from China<sup>6</sup>, at the expense of environmental impacts that have not been assessed adequately. Some aspects of China's investments, such as loans for dams are controversial, and others, such as the Hambantota airport and port have not yet lived up to expectations, but investment continues, notably in a project to build a massive free trade zone on land claimed from the sea in Colombo harbour, the environmental impacts of which (sand requirements for example<sup>7</sup>) have still not been assessed adequately.

3. Sri Lanka's National Gross Domestic Product (GDP) has increased rapidly over the last decade, and the country rose to lower Middle Income Country (MIC) status in 2010. The Human Development Index (HDI) is 0.770, indicating "high human development", and Sri Lanka lies 76th out of 189 countries assessed<sup>8</sup>. Per capita GDP is about US\$4,300<sup>9</sup>, well above that of the other countries of South Asia. However, wealth distribution is very unequal: there are significant disparities in income, infrastructure and access to basic services, and rising wealth in some parts of society is leading to changes in consumption patterns of food, water and energy<sup>10</sup>. The proportion of the population living below US\$1.30 per day fell from 22.7% in 2002 to 3.3% in 2018<sup>11</sup>, but 25% of the population still live on less than US\$2.50 per day<sup>12</sup>. Considerable inequalities and inequities in food and nutrition persist<sup>13</sup>. The challenge here is not only to ensure food security and nutrition for 4.6 million undernourished people, but also to provide safe, high quality food for the additional 2.4 million people expected by 2050. Sri Lanka has one of the highest rates of acute moderate malnutrition (wasting) in the world – 15% prevalence – and stunting, at 17% prevalence, is affecting physical and mental development. Micronutrient deficiencies, especially anemia, affect all age groups. Overnutrition is also emerging rapidly, as a result of income disparities, with 45 percent of women of reproductive age overweight or obese. Rising commodity prices, partially attributable to increasing production costs, disproportionately affect women and the poor, and bad rural infrastructure is a severe constraint for farmers in marketing their produce.

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1 <https://lknhm.nus.edu.sg/app/uploads/2017/06/s12rbz001-004.pdf>

2 <http://datazone.birdlife.org/eba/factsheet/126>

3 <https://www.cepf.net/our-work/biodiversity-hotspots/western-ghats-and-sri-lanka>

4 <https://data.worldbank.org/indicator/sp.pop.grow>

5 <https://www.indexmundi.com/map/?t=0&v=21000&r=as&l=en>

6 <https://www.forbes.com/sites/wadeshepard/2016/07/27/china-just-asked-for-15000-acres-of-land-in-sri-lanka-for-a-million-worker-sez/>

7 <https://www.theguardian.com/cities/2018/aug/02/sri-lanka-new-dubai-chinese-city-colombo>

8 [http://hdr.undp.org/sites/all/themes/hdr\\_theme/country-notes/LKA.pdf](http://hdr.undp.org/sites/all/themes/hdr_theme/country-notes/LKA.pdf)

9 <http://www.imf.org/external/databapper/NGDPDPC@WEO/LKA>

10 <https://lk.one.un.org/our-work/unsdf/>

11 [http://www.statistics.gov.lk/poverty/SpatialDistributionOfPoverty2012\\_13.pdf](http://www.statistics.gov.lk/poverty/SpatialDistributionOfPoverty2012_13.pdf)

12 <http://www.dailymirror.lk/article/CB-Governor-says-one-quarter-of-population-still-trapped-in-poverty-149874.html>

13 <https://documents.wfp.org/stellent/groups/public/documents/eb/wfp293168.pdf>

4. As government reacts to maintain incomes, provide services, and reduce inequalities, it struggles to keep to its long-term aims encompassing conservation and sustainable management of natural resources such as land, water, forests, wildlife and fish stocks. Many rural people meet their immediate subsistence needs, or generate income, through unsustainable fishing and farming practices that prejudice future yields because there are few if any benefits to restraint, or stinting. The civil war left a legacy of social tensions between and within ethnic groups, particularly in the North and East of the country, and resettlement programmes and return of previous residents have led to disputes over land tenure. This adds to the challenge of establishing a sustainable economy while protecting Sri Lanka's globally significant biodiversity. Loss of biodiversity often has greater immediate effects on poor rural people than on urban residents whose higher consumption can drain resources far away from the cities where they live. The highest rates of persistent poverty and vulnerability to economic or climatic shocks are in (a) the urban corridors of the south-west and (b) the rural areas of the north and east which were most affected by the civil war<sup>7</sup>. Chronic Kidney Disease of Unknown Etiology (CKDu)<sup>14</sup> is associated with high mortality among poor farmers, especially in the North Central Province (Annex P).

### 2.3 Policy and practice

5. The overarching emphasis on pursuit of economic growth encourages government, residents and developers to make rapid capital out of natural resources and to promote consumptive and non-consumptive methods of exploitation that, although perhaps successful elsewhere, have not been adequately tested under local conditions. This is leading to loss of biodiversity, and reduction in the productivity of the natural environment. Encroachment of state land for cultivation, infrastructure development, or gem mining, for example reduces biodiversity and fragments habitats, overuse and misapplication of pesticides and fertilizers, sometimes encouraged by government subsidies, threatens biodiversity and ecological integrity<sup>15</sup>. Killing and maiming of forest-based wildlife, mainly of elephants, is widespread, usually in retaliation for crop damage and killing of humans. It is estimated that over 4,000 elephants have been killed by people, usually in ways that incur great pain and suffering, since 1950, and over 1,400 since 2005<sup>16</sup>.

6. Permissive government policies regarding encroachments, overlapping and conflicting actions by different government agencies, political interference, and commercialization of rural economies<sup>17</sup> contribute to such environmental damage<sup>18</sup>. Weak management and governance of fisheries is leading to the overexploitation of marine resources, including damaging levels of bycatch, and the degradation of coastal ecosystems. Despite extensive evidence of overexploitation and enforcement of laws governing bottom trawling, for example, remain poor. Investments in fishing fleet capacity are being made with the expectation of increasing incomes<sup>19</sup>, but this may not prove the case (see Section 3.3). Since 2013 tourism has contributed to the national economy as the third largest earner of foreign exchange<sup>20,21</sup>, and foreign tourist arrivals reached 2.1 million in 2017. Environmental damage has resulted from over-visitation, particularly at coastal sites and in national parks where iconic wildlife such as elephants, sloth bears and leopards are viewed<sup>22</sup>. Government policy calls for a substantial increase in foreign tourist arrivals, an increase in per capita expenditure from US\$168 to US\$200 per day by 2020<sup>23</sup>, and an emphasis on tourism based on specialist interests, in particular on culture and the environment<sup>24,25</sup>.

14 <https://medium.com/@VilPhoto/in-the-hot-zone-chronic-kidney-disease-in-sri-lanka-bb9c21ea6847>

15 <https://medium.com/@VilPhoto/in-the-hot-zone-chronic-kidney-disease-in-sri-lanka-bb9c21ea6847>

16 <http://www.ft.lk/article/557390/Elephant-human-conflict-the-most-crucial-issue-not-even-identified>

17 [http://redd.lk/web/images/contents/document\\_centre/Final\\_DD\\_Summary\\_Completed.pdf](http://redd.lk/web/images/contents/document_centre/Final_DD_Summary_Completed.pdf)

18 <https://www.cbd.int/doc/world/lk/lk-nbsap-v2-en.pdf>

19 <https://www.adb.org/sites/default/files/project-documents/49325/49325-001-tacr-en.pdf>

20 Direct reflects internal spending by individual travelers. Indirect includes wider impacts such as investment spending (hotel construction for example)

21 <https://www.wttc.org/-/media/files/reports/economic-impact-research/countries-2017/srilanka2017.pdf>

22 [http://repository.kln.ac.lk/bitstream/handle/123456789/13623/SV\\_139-152.pdf?sequence=1](http://repository.kln.ac.lk/bitstream/handle/123456789/13623/SV_139-152.pdf?sequence=1)

23 <http://www.sltda.lk/sites/default/files/tourism-strategic-plan-2017-to-2020.pdf>

24 <https://www.slideshare.net/BTOEducational/sri-lanka-tourism-strategic-plan-and-action-2017-2020>

<https://2017.globaleco.com.au/perch/resources/Gallery/rashmini-mather.pdf>

<http://www.sltda.lk/sites/default/files/tourism-strategic-plan-2017-to-2020.pdf>

25 <https://oxfordbusinessgroup.com/overview/rising-star-government-setting-out-its-plans-sector>

7. Sri Lanka has designated 30% of its land as protected areas (the highest national coverage in Asia) and has well-developed wildlife legislation to protect its globally important biodiversity<sup>26 27</sup>. Environmental degradation and loss of biodiversity continues, however, despite the extensive conservation measures put in place. Protected areas are vital but they are insufficient alone, no matter how good their internal management, to protect biodiversity and ecosystem services. Habitat destruction and fragmentation, pollution of air, soil and water, soil degradation, destruction of coral reefs and accumulation of solid waste threaten biodiversity inside and outside protected areas.

8. Industrialisation, population growth and an emphasis on a fast-growing economy has led to and is leading to widespread environmental problems and threats to biodiversity. Proper attention to the environment is known to promote long-term economic sustainability, and in Sri Lanka, as elsewhere, both government and civil society have been active in promoting green development policies. Development of such policies is generally slow, however, and effective implementation is often even slower: so change is gradual and requires genuine commitment, incentives and capacity building, backed up by political will. Governments tend to keep the emphasis on rapid economic growth for political reasons and because many believe that environmental problems can be tackled later.

9. Sri Lanka Tourist Development Authority's Strategic Plan 2017-2020, and Tourism Vision 2025 aims to make tourism the country's second biggest earner of foreign exchange (it is at present in third place after remittances from overseas workers, and garment and textile exports)<sup>28,29</sup>. The Vision recognizes that more needs to be done than simply increase hotel accommodation and that poor management, including management of environmental impacts that feed back into the market, and attention to the patchy infrastructure and uneven implementation of laws and regulations. However, no matter how much is written in government documents such as Tourism Vision 2025 about the importance of sensitive development, the arrival of entrepreneurs setting up their tourism ventures will have to be monitored carefully to ensure that environmental impacts are kept to acceptable limits and that the mistakes made in unplanned and unregulated development in other parts of the country are not repeated.

10. Tourism Vision 2025 highlights the potential of the north, off limits during the civil war, and now being opened up to tourism, particularly along the coast. Although it specifically lists conservation as one of seven guiding principles (Conservation and world-class management of assets), relevant actions are not described in any detail, and the challenge at the local level will be to achieve adequate coordination to guide tourism development to control the impacts on environment and society of both the physical infrastructure and the activities undertaken. For example, a master plan ordered by the Ministry of Megapolis and Western Development of Sri Lanka, will remodel Trincomalee, 100 km to the east of the MT Project landscape, into a hub for tourism, exports and logistics and will establish Hingurakgoda as a major international airport<sup>30</sup>. The master plan follows a 'B.L.U.E. (biodiversity, liveability, uniqueness, economy) approach and is aimed at protecting the biodiversity of Trincomalee while strengthening its economy. However, guidance on how to achieve is likely to be required. Similar plans are under development for Mannar, in the selected Project landscape (see Section 3.3). Some have suggested the reopening of the ferry service between India and Talaimannar, the rail head, as a high proportion of foreign tourists are from India. This is however, complicated by security considerations<sup>31</sup>.

11. In summary, the main challenges facing the project in achieving its objective are:

- the overarching emphasis on the pursuit of economic growth, at the cost of human wellbeing and the natural environment
- social tensions and feelings of instability related to resettlement, land tenure, and events during and following the war;

<sup>26</sup> far exceeding Aichi Target 11 for terrestrial protected areas, although it has few marine protected areas

<sup>27</sup> <https://www.bipindicators.net/indicators/coverage-of-protected-areas-terrestrial-and-marine>

<sup>28</sup> <https://www.slideshare.net/BTOEducational/sri-lanka-tourism-strategic-plan-and-action-2017-2020>

<https://2017.globaleco.com.au/perch/resources/Gallery/rashmini-mather.pdf>

<http://www.slttda.lk/sites/default/files/tourism-strategic-plan-2017-to-2020.pdf>

<sup>29</sup> <https://oxfordbusinessgroup.com/overview/rising-star-government-setting-out-its-plans-sector>

<sup>30</sup> <https://12go.asia/en/post/6059/trincomalee-to-become-eastern-tourism-hub>

<sup>31</sup> <https://timesofindia.indiatimes.com/city/chennai/tamil-nadu-pushes-for-ferry-service-with-sri-lanka/articleshow/60077635.cms>

- the high proportion of female headed households in the Project landscape
- the high demand for natural resources;
- unsustainable fishing and farming practices
- absentee entrepreneurs exploiting local people through loans and bad contractual arrangements;
- many people living from day to day without financial reserves
- government agencies acting independently of each other;
- government subsidies that lead to excessive fertilizer use;
- development projects acting in isolation;
- relatively low levels of knowledge and skills related to ecology, biodiversity conservation, and best practices in tourism and integrated natural resource management;
- low levels of law enforcement related to natural resource management;
- complex local government arrangements, with some sectors devolved, some administered from Colombo, and some officials elected locally, and others appointed centrally;
- recent political instability linked to disputed powers of the executive presidency.

12. Various factors provide favourable conditions for the project to build upon, including a widening realization in government and among the public that environmental degradation is serious and accelerating, a large number of green movements, public demand for changes in how tourism is conducted, the high global importance of Sri Lanka's biodiversity, and the large number of development projects that overlap geographically and thematically with the Project.

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### III. Strategy

13. The Long-term Goal of the project is: **Integrated, ecologically sensitive management of natural resources that protects biodiversity, reduces resource conflicts, and maintains ecosystem services.**

The Immediate Objective or "End of Project State" is: **Strengthened protection of globally significant biodiversity through mainstreaming of conservation and sustainable practices into land use planning and sectoral decision-making in forestry, agriculture<sup>32</sup> and tourism sectors.**

14. The Project Title captures the essence of 'mainstreaming' – taking biodiversity into consideration routinely in all decision-making and actions by government - and it stresses the importance of working together on this with the communities whose long-term wellbeing depends on sound ecologically-sensitive management of natural resources. The Project covers parts of three focal areas of GEF - biodiversity, land degradation, and sustainable forest management. So it takes a holistic approach, balancing the needs of people with the needs of other species, and realizing the interdependence between people and other people, and between people and nature; as opposed to the narrower approach of "defending" nature from the "harm" of human actions.

#### 3.1 Theory of Change

15. Theory of Change (ToC) sessions first developed a picture of the general "Pre-conditions (P)" required to reach the Immediate Objective, or End of Project State (E) (please see **Annex K** and figure 1). This picture was compared with the *status-quo* - the Pre-project State (S), and the underlying causes, or Drivers (D), that perpetuate the Pre-Project State, along with any Favourable Conditions (F) that counteract to some extent those drivers. The Changes Required (R) to achieve the Pre-conditions (P), and the Mechanisms (M) for delivering changes, indicate how the Drivers (D) can be addressed and then converted into a rough Project design with Outcomes and Outputs (Annex K1). The design of the TOC diagrams for the overall project (Annex K2, K3) and for each natural resource management sector (Annex K4 to K7) is at first glance surprising because the flows are both downward from the Drivers (D) to the Pre-project State (S), and upward from the Favourable Conditions (F) through the Changes Required (R) and Mechanisms for Change (M) to the Pre-conditions (P) and the End of Project State (E).

16. The required changes from the *status quo* will amply contribute to the relevant UNDAF Country Programme Outcome (see cover page), namely that Sri Lankans, in particular the vulnerable and marginalized, will be more resilient to climate change and natural disasters and will benefit from increasingly sustainable management of natural resources, better environmental governance and blue and green development.

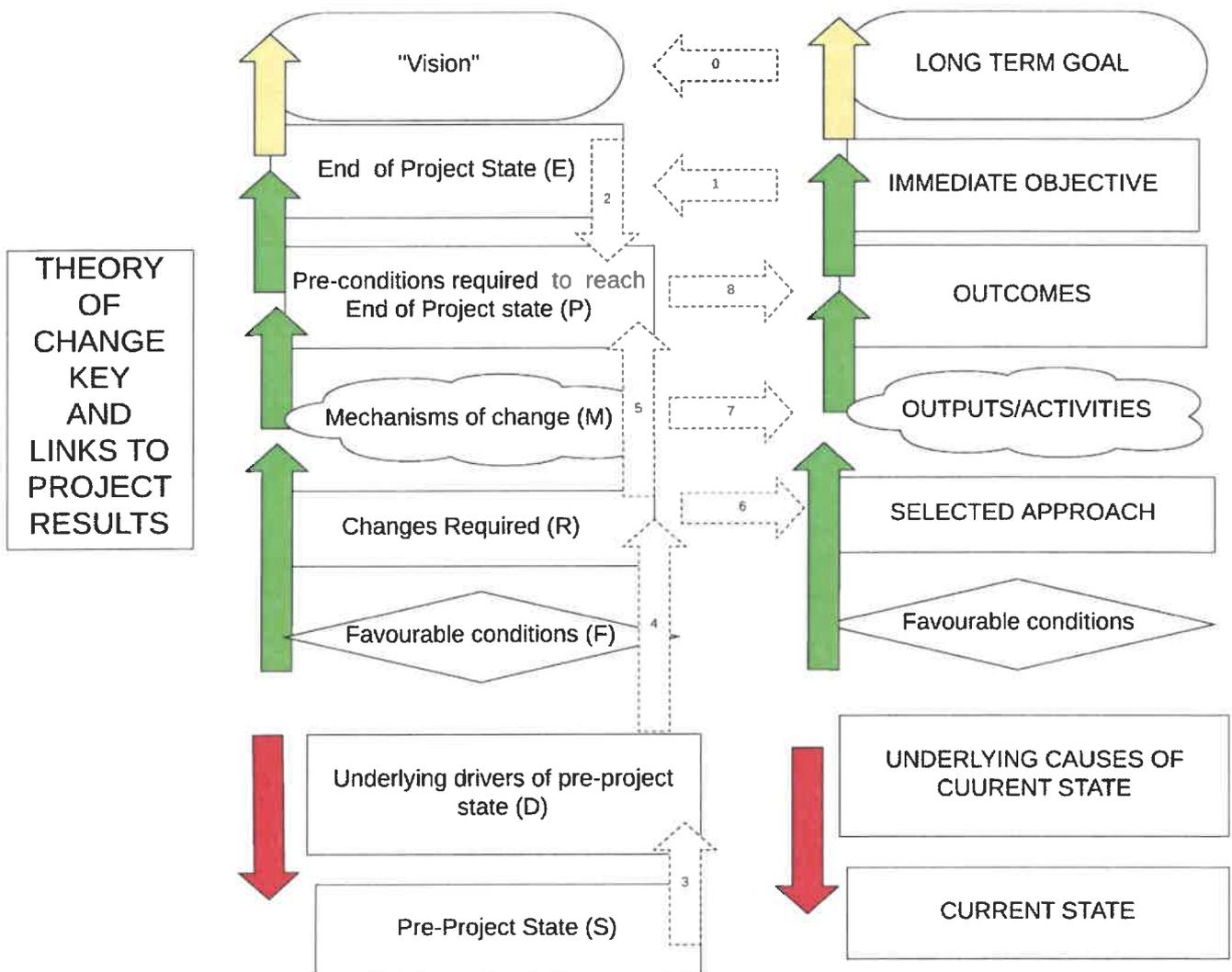
17. Required changes include:

- Improved levels of knowledge and understanding of the need for biodiversity mainstreaming and safeguarding;
- Improved cross-sectoral and trans-jurisdictional co-ordination among government agencies;
- Improved capacities in local government and communities for initiation and management of modified livelihoods;
- Strengthened political will and proactive measures to enforce existing policies and legislation and to review ecologically perverse incentives;
- Resolution of problems that result in social instabilities, uncertainties over land tenure, and heavy dependence on unfair loans;
- Elimination of damaging practices in agriculture, tourism, fisheries, forestry and wildlife conservation
- Improved water management;
- Increased involvement of public in land-use decision making;
- Greater involvement of women and young people in joint decision making at the community

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<sup>32</sup> Agriculture in this context includes fisheries and the project addresses both marine and freshwater biodiversity conservation and associated livelihoods.

- level; and
- Improved market communication and access for local produce, including possibly traditional varieties for which premium prices may be sustainable.



**Figure 1: Project's Theory of Change (ToC)**

18. Not all of these required changes will be achievable by the Project alone, although the Project will contribute as far as feasible and will work with partners to address those outside its immediate scope. Policy changes take a long time to achieve, longer than the normal duration of GEF projects, and lessons learned from similar projects in Sri Lanka and elsewhere show that it is easy to get bogged down in technical papers and policy discussions "upstream" at the expense of making progress in understanding, capacity building, support and action in the field and at community and local government levels.

19. Current policies and laws do not constitute a barrier to mainstreaming of biodiversity into land-use planning and natural resource management in Sri Lanka: indeed a considerable amount of policy and legislative work has already been done in agriculture, forestry, fisheries and tourism. Required policy changes, and solutions to widespread uncertainties in land tenure, for example, are likely to take over four years to achieve and will require political and administrative decision making beyond the control of the Project, so a deliberate decision has been made to concentrate on achieving results that current policy and capacity allows. The Project will operate within existing policy and institutional frameworks and with reference to existing categories of land protection and will prepare and push forward recommendations for those changes in policy and practice that are beyond the project's immediate reach, in parallel with an intensive programme of demonstration and advertisement of results.

20. Mechanisms to achieve changes within the Project's scope include:

- in-service and pre-service training across government sectors;
- slow, patient and genuine engagement with local communities, government agencies and relevant development projects;
- livelihood-focused interventions that provide incentives for positive impacts on biodiversity;
- application of a strategic landscape conservation design approach to land-use planning;
- central governmental directives to local government agencies in project areas requiring close collaboration with the project;
- financial mechanisms such as private sector investments, payments for ecosystem services, and benefit sharing by local businesses that rely on community restraint in activities deleterious to biodiversity and ecosystem services;
- specific training for community members in skills required for livelihood-focused interventions such as tourism or aquaculture;
- environmental assessment for all project interventions;
- technical support for eco-certification schemes in fisheries, agriculture and tourism;
- monitoring of project impacts both during and following the project;
- in order to demonstrate these mechanisms an overarching facilitation of the project's selected approach will be required in the form of central government directives to authorize the project's selected approach of cross-sectoral and trans-jurisdictional planning and management.

### **3.2 Selected approach**

21. An ecological approach to natural resource management and development is essential not only for biodiversity conservation but for the sustainability of human populations. Ultimately all Sri Lankans depend on biodiversity and should help to conserve it. Broad public participation is required to achieve biodiversity conservation and local knowledge should be respected and used.

22. Protected areas were once enough to achieve conservation, but changes and fragmentation of habitats led to increasing extents of inhospitable areas between protected areas, that are too difficult for certain wild species to cross. So protected areas, although vital, are not enough alone. The Project will take a landscape approach to conservation, with protected areas included as part of the wider landscape where agriculture, forestry, fisheries and tourism have impacts on biodiversity and ecological processes. Landscape in the context of this landscape approach, is an area with two or more types of ecological communities, or habitat types, including human modified habitats.

23. The landscape approach is not a magic solution and it is a mistake to have too rosy a picture of the results. There will be overall gains, but there will be trade-offs and there will be losers as well as winners, among humans and among other species. The basic approach will be to identify the needs of wild species and the needs and impacts of humans; to analyse systematically where overlaps and conflicts occur and are likely to develop; and to plan and carry out actions (and policy changes if necessary) so that land uses provide for the needs of both people and wild species. This is a complex and time-consuming process.

24. Mainstreaming has been advocated for many years and shifts to "green development" have been signaled in many countries worldwide although often not carried through. Actions presented as "green" are often not that green when analyzed. So the Project will emphasize environmental assessment of all interventions. The Project is especially well placed to guide tourism, which is in the early stages of its development in the chosen project sites, and thus to avoid the kind of damaging tourist developments that have occurred in parts of southern Sri Lanka, including some national parks and some coastal areas outside national parks.

25. Although conservation of nature in general is seen as valuable, conservationists find that in practice they have to fight the same battles again and again to save wild species from harm. There is a perceived need to express the value of wild species in economic terms that are then used as incentives for biodiversity conservation or arguments against land uses harmful to biodiversity. This can be productive in driving policy development, although there is still not wide enough acceptance or understanding of the fact that maintenance of biodiversity and ecosystem services is positive for health, the economy

and livelihoods in the long term; and indeed that well-being, including access to the natural environment, is a better measure of happiness than financial wealth. However, reliance solely on economic or utilitarian arguments assumes that people will not conserve nature unless it is in their direct benefit. So it creates an impression of unending conflict between humans and nature. The existence of an intrinsic value in nature would free conservationists of the obligation to prove the value of conserving particular species, but this is seen as prioritizing other species over humans. The answer is to view and treat humanity as part of nature not as a rival. The Managing Together Project, aims to contribute to a) *acceptance of the interdependencies between people and nature, both in local government and in communities* and b) *an opportunity to act on that acceptance and provide a model for replication elsewhere*.

26. The Project takes a two-prong approach to getting biodiversity conservation and sustainable practices "mainstreamed" into decision-making in natural resource management. It will work with government at Provincial, District and Divisional Secretariat levels on overall landscape conservation designs that provide for the needs of humans and wild species, and, concurrently, with local communities at the village level on land-use plans that eliminate or reduce damaging practices and introduce, where appropriate, livelihood-focused initiatives that rely on immediate actions to conserve biodiversity.

27. The current planning approach is typically through single institutions with stakeholder input as part of the process, and land-use plans in Sri Lanka often simply assign land to different categories of use. The Project's landscape conservation design approach will be stakeholder driven, will involve the full participation of multiple agencies, local communities, and adjacent administrations or jurisdictions and will be guided by a strategic analysis of the requirements of wild species, particularly in terms of habitat connectivity. The landscape design approach is holistic and value-driven and guides collective decision-making and action across jurisdictions and sectors. It will result in a "living" product - text, maps, data, strategic plans, decision support tools and cooperative agreements - determined by the stakeholders and updated regularly. Once the landscape designs have been completed the District governments will be expected to ensure that all agreed conclusions and recommendations, including guidelines on mainstreaming of biodiversity into NRM and tourism, are reflected in their own District Development Plans and decision-making processes. In this way the impact of the Project will extend beyond the landscape into whole Districts.

28. There is considerable experience globally in landscape scale, community-centred approaches to natural resource management, but surprisingly few useful generalizations emerge. Much depends on specific circumstances. At the village level the project will follow participatory methods such as described by Bello et al (2016)<sup>33</sup> talking with local people patiently, first asking them how they themselves want to plan their land use, and then including biodiversity conservation objectives as relationships are formed and the project is able to explain the benefits. The resulting land use plans can be gazetted under the law, enabling the district and divisional secretaries to incorporate them into their development plans and, for example, implement development controls stipulated for sensitive areas.

29. Reid et al (2016)<sup>34</sup> urged practitioners of the landscape approach to monitor and document carefully inputs, short-term outcomes and long term performance. Monitoring the results after the project ends is particularly important to guide landscape planning initiatives worldwide: many have been implemented but data on long term impacts are sparse. It should be possible to achieve the objective of *strengthening* protection of biodiversity within the 48 months allowed, but that is a short time in which to get substantial impacts on the ground. One of the main lessons learned is that achieving lasting change in landscape management takes longer than the typical project duration of 3-5 years. Steps will be taken to ensure both continuity and monitoring after the project ends, and project staff, rather than merely visiting from time to time, will live and work full time in the Project landscapes throughout the whole duration of the Project.

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<sup>33</sup> Bello, F., et al. (2016). "Community participation framework for protected area-based tourism planning". *Tourism Planning & Development* Vol. 13, Iss. 4, 2016.

<sup>34</sup> Reed, J. et al. (2016). "Integrated landscape approaches to managing social and environmental issues in the tropics: learning from the past to guide the future their progress is measured and to support indicators, so they capture measurements". *Global Change Biology* (2016) 22, 2540–2554, doi: 10.1111/gcb.13284

### 3.3 Project Landscape

30. The Malwathu Oya river basin was selected as the geographical focus for the Project according to criteria related to ridge to reef ecological flow, species and ecosystem diversity, forest cover, agriculture, irrigation and tourism potential (**Annex L**). It is an area of considerable biodiversity and cultural significance: heavily populated by humans, however, with additional people still being resettled in the area following the end of the 26 year civil war in 2009, natural resources are being overexploited and cultural sites are being damaged (**Annex R**). The selected landscape is predominantly in Anuradhapura and Mannar Districts and also includes a small part of Vavuniya District to the north, and an even smaller part of Puttalam District to the south. It lies in the dry and arid bioclimatic zones of Sri Lanka, and includes dry-mixed evergreen forests, arid-mixed evergreen forests, and a mosaic of natural and anthropogenic ecosystem types such as riverine evergreen forests, rock outcrop forests, dry deciduous thorn scrublands, home gardens, abandoned *chena* (shifting cultivation sites) and other lands, working and abandoned tanks, saltmarshes and sandy shores, mangroves, coral reefs and seagrass meadows.

31. Flowing north-west, slowly and gradually, from Ritigala Mountain, which rises sharply from the surrounding plain, passing Anuradhapura city, and on through dry and arid forest past the Wilpattu National Park, to the Gulf of Mannar, the Malwathu Oya has an important place both in the history and in the ecology of Sri Lanka (Annex L). Its watershed is home to Asiatic Elephant (*Elephas maximus* EN), the Leopard (*Panthera pardus* VU), and the Sloth Bear (*Melursus ursinus* VU), and Dugongs (*Dugong dugon* VU), which were once hunted almost to local extinction, hold on in small numbers on sea-grass beds offshore. The Giant's Tank, which is joined to the Malwathu Oya by an anicut is well known as a place rich in migratory and resident birds, and draws ornithologists from far away. Mannar District in particular is important for migratory birds traveling on flyways down the eastern and western coasts of India. Heuglin's Gull (*Larus fuscus heuglini*) (LC) and Great Knot (*Calidris tenuirostris* EN), make a return journey each year from northern and north-eastern Russia. During a survey at Vidattaltivu Lagoon in February 2010 over a million migratory shore-birds were in view at one point (National Trust of Sri Lanka, 2016). Two Ramsar sites, the Vankalai Sanctuary<sup>35</sup> and the Wilpattu Ramsar Wetland Complex<sup>36</sup> have been declared, and Vankalai hosts more than 1% of the global population of Greater Flamingo (*Phoenicopterus roseus*) (LC) and Eurasian Wigeon (*Anas penelope*) (LC).

32. The forests, thorn scrub, grasslands and wetlands of the Project landscape and the lagoons, reefs and sea-grass beds of the seascape are home to many species of endemic birds (8), reptiles (8), mammals (2), fish (10) and amphibians (2) that are not globally threatened but nevertheless are of great scientific interest and beauty. The endemic Blotch Bowfinger Gecko *Cyrtodactylus yakhuna*, for example, (Figure 4) has a restricted range in the Northern and North-Central provinces. Resident birds with restricted ranges in Sri Lanka include the Long-tailed Shrike (*Lanius shach* LC), Black Drongo (*Dicrurus macrocercus* LC) and Indian Courser (*Cursorus coromandelicus* LC) which have affinity with the Deccan avifauna of southern India. Biodiversity exploration in the watershed was suspended for a while during the long civil war which ended in 2009, and we are now beginning to learn more about the less well-known species of the area, many of them endemic to Sri Lanka and of great interest to biologists. The unobtrusive, and ordinary looking fish, *Labeo lankae* CR<sup>37</sup>, is restricted to parts of the Malwathu Oya basin (although it is of course possible that it might be found elsewhere, even on the Indian mainland).

33. Other globally threatened animal species include the Mugger (*Crocodylus palustris* VU), Indian Star Tortoise (*Geochelone elegans* VU), Asian Woolly Neck Stork (*Ciconia episcopus* VU), Lesser Adjutant Stork (*Leptopilus javanicus* VU), Spoon-billed Sandpiper (*Calidris pygmaea* CR<sup>38</sup>), Toque Macaque (*Macaca sinica* EN<sup>39</sup>), Purple faced Leaf Monkey (*Trachypithecus vetulus* EN), Sambhar (*Rusa unicolor* VU) and Fishing Cat (*Prionailurus viverrinus* VU). The two globally threatened primates are both endemic to Sri Lanka, and it is still not known where the Lesser Adjutant Stork nests<sup>40</sup>. Globally threatened fauna found in the project seascape include nine species of corals (all VU), Humphead Wrasse (*Cheilinus undulatus* EN), Sperm Whale (*Physeter macrocephalus* VU), Blue Whale

<sup>35</sup> <https://rsis.ramsar.org/ris/1910>

<sup>36</sup> <https://rsis.ramsar.org/ris/2095>

<sup>37</sup> [https://www.researchgate.net/publication/327929665\\_A\\_review\\_of\\_the\\_genus\\_Labeo\\_Teleostei\\_Cyprinidae\\_in\\_Sri\\_Lanka](https://www.researchgate.net/publication/327929665_A_review_of_the_genus_Labeo_Teleostei_Cyprinidae_in_Sri_Lanka)

<sup>38</sup> Two records in Sri Lanka in 1978 and a third, in 2018, from the Project Landscape.

[http://indianbirds.in/pdfs/IB\\_14\\_4\\_Darshana\\_SpoonbilledSandpiper.pdf](http://indianbirds.in/pdfs/IB_14_4_Darshana_SpoonbilledSandpiper.pdf)

<sup>39</sup> Endemic to Sri Lanka, quite numerous in the country, but not abundant in the project landscape

<sup>40</sup> <https://www.wilpattu.com/species-ZebraBlue-35>

(*Balaenoptera musculus* EN), Indian Ocean Humpback Dolphin (*Sousa plumbea* EN), Indo-pacific Finless Porpoise (*Neophocaena phocaenoides* VU), and three species of sea turtles (Olive Ridley Turtle (*Lepidochelys olivacea* VU), Green Turtle (*Chelonia mydas* EN), and Hawksbill (*Eretmochelys imbricata* CR). **Annex U** provides a full list of endemic and globally threatened fauna in the three Trial Landscapes.

34. The basin's importance for biodiversity is indicated by the fact that a remarkable 2,083 km<sup>2</sup> (35%) of the 5,952 km<sup>2</sup> landscape selected for project implementation is designated under Forest Department (11%) or Department of Wildlife Conservation (24%) protected area categories and an additional 2.5% has been proposed as Elephant Corridors (Annex Q). Offshore two Dugong and Seagrass conservation areas have also been proposed, amounting to 460 km<sup>2</sup>, which is 53% of the 875 km<sup>2</sup> seascape selected for project implementation. **Annex U** lists all endemic faunal species recorded in the Trial Landscapes based on literature surveys and additional records made during project preparation surveys.

35. Most of the estimated 240,000 people in the rural areas of the Project landscape are engaged in agriculture and fisheries, and high demand for both cash harvests and subsistence is leading to damaging practices, particularly in fishing (overfishing, dynamiting, reef destruction and bycatch) and in the encroachment of forested state land for cultivation (see **Annex R** for descriptions and **Annex K** for ToC analysis in specific sectors). Poverty is widespread and has been exacerbated by three years of drought and associated crop failures (Annex R, Annex K). Anuradhapura District is particularly badly affected by CKDu<sup>41</sup> and the suffering that has resulted from the deaths of family breadwinners is devastating.

36. A major ADB/GOSL Northern Province Sustainable Fisheries Development Project<sup>42</sup> aims to shift fisheries offshore and establish safe harbours and landing sites (there are no natural fishery harbours on the coastline of the Northern Province), to expand coastal aquaculture, and to strengthen entrepreneurial skills, market links and credit access for local communities, including women (see Section 4.2). This has been done elsewhere but despite the increase in global fishing effort global landings still show a steady decline<sup>43</sup>, and fishermen are dropping below poverty levels in many regions of the world<sup>44</sup>. The reductions in fishing capacity required to alleviate the negative impacts of overfishing often result in a loss of fishing access for fishers who may be entirely dependent on marine resources for their livelihood. In places like Mannar, where fishers have fewer economic alternatives, enforcing no fishing areas is difficult, as there are at present insufficient opportunities for people to opt out of fisheries permanently<sup>45</sup>.

37. Fisheries alone will not be able to provide sufficient economic benefits to maintain fishers above local poverty levels, even if sustainably exploited and if fishing effort is kept constant. Addressing fleet overcapacity is a key component of achieving sustainable and economically viable fisheries, but it has to be managed together with other agencies, in recognition that fisheries are part of a complex socio-ecological system, and cannot be considered in isolation<sup>46</sup>.

38. The Blue Swimming Crab (*Portunus armatus*) fishery established in Mannar Bay is on its way to becoming a sustainable fishery<sup>47</sup>. Part of the profits from better management and exclusive access could be collected in the form of taxes or licensing fees to benefit the general public, given that fish are a public resource<sup>48</sup>. The potential of the oceans for wealth creation is being promoted under the Blue Economy framework, which is especially relevant in coastal communities that rely almost exclusively on fishing<sup>49</sup>.

<sup>41</sup> <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4588322/>

<sup>42</sup> [https://www.np.gov.lk/index.php?option=com\\_content&view=article&id=4094:review-meetingon-northern-province-sustainable-fisheries-development-project&catid=10&Itemid=117](https://www.np.gov.lk/index.php?option=com_content&view=article&id=4094:review-meetingon-northern-province-sustainable-fisheries-development-project&catid=10&Itemid=117)

<sup>43</sup> <https://www.nature.com/articles/ncomms10244>

<sup>44</sup> <https://link.springer.com/article/10.1007%2Fs13131-017-1096-x>

<sup>45</sup> <https://onlinelibrary.wiley.com/doi/abs/10.1111/faf.12016>

<sup>46</sup> DOI: 10.1111/faf.12332

<sup>47</sup> <https://www.seafoodsource.com/features/op-ed-sri-lankan-blue-swimming-crab-fishery-improvement-project-proves-validity-of-fip-model>

<sup>48</sup> <https://linkinghub.elsevier.com/retrieve/pii/S009506960400138X>

<sup>49</sup> <https://doi.org/10.1016/j.marpol.2017.03.002>

39. In Mannar, within the Project landscape, ecotourism has the potential to contribute to fishing community economies. There are good examples in the Cabo Pulmo National Park in Mexico<sup>50</sup>, and in the transformation of manta ray fisheries to ecotourism in Western Australia and elsewhere<sup>51</sup>. Mangrove restoration provides an opportunity for donors to fund as payments for ecosystem services thus providing incentives for ecosystem protection<sup>52</sup>.

### 3.4 Trial Landscapes (TL) and Focal Village Clusters (FVC)

40. The overall Project landscape, at nearly 6,000 km<sup>2</sup> has been divided into three Trial Landscapes in which the project will demonstrate mainstreaming of biodiversity in an integrated, landscape-based approach to natural resource management and tourism. These three Trial Landscapes (TL) were identified based on representativeness of different ecosystems and animal and plant communities, on the potential to mainstream biodiversity into the main production sectors and tourism, and to maximize synergies with related projects and government programmes that overlap geographically and thematically (see Section IV 4.2). The three TLs, with areas of 554,900 and 1,056 km<sup>2</sup> (Table 1) respectively are the units over which the strategic landscape design and community-centred approach to mainstreaming biodiversity conservation will be piloted. Both inter-agency (cross-sectoral) and inter-administration (cross-jurisdictional) coordination and collaboration will be required. Piloting the required community consultations and joint planning requires further zooming in and focusing on sites of special interest from the points of view of biodiversity and the potential for livelihood adjustments that can demonstrate benefits to local people of conservation actions and gain support for the sustainable approach to natural resource management.

41. Biodiversity and socio-economic surveys in the three TLs and consultations with stakeholders, including local government officials at Provincial, District, Divisional Secretariat, Grama Niladhari Division (GND) and village levels have been carried out during Project preparation. The project will work in close consultations with Grama Niladhari and village communities that are contained within or overlap the sites of greatest interest to develop local land use plans that reflect the overall strategic priorities in the Trial Landscapes. Within each Trial Landscape between four and seven sites of special interest have been identified. They are described according to the GNDs in which they lie. In most cases there is GND per site, but there are usually more than one village in a GND, and some sites overlap up to four GNDs. The sites are referred to under the project as Focal Village Clusters (FVC). Early on in the project implementation, after further surveys and consultations have been completed, two Focal Village Clusters from each Trial Landscape will be selected for detailed community-centred and cross-sectoral land-use planning and livelihood-focused project interventions. In this way the project will follow the mix of community-centred, cross-sectoral and trans-jurisdictional approaches that have been shown to be the most effective in landscape conservation design.

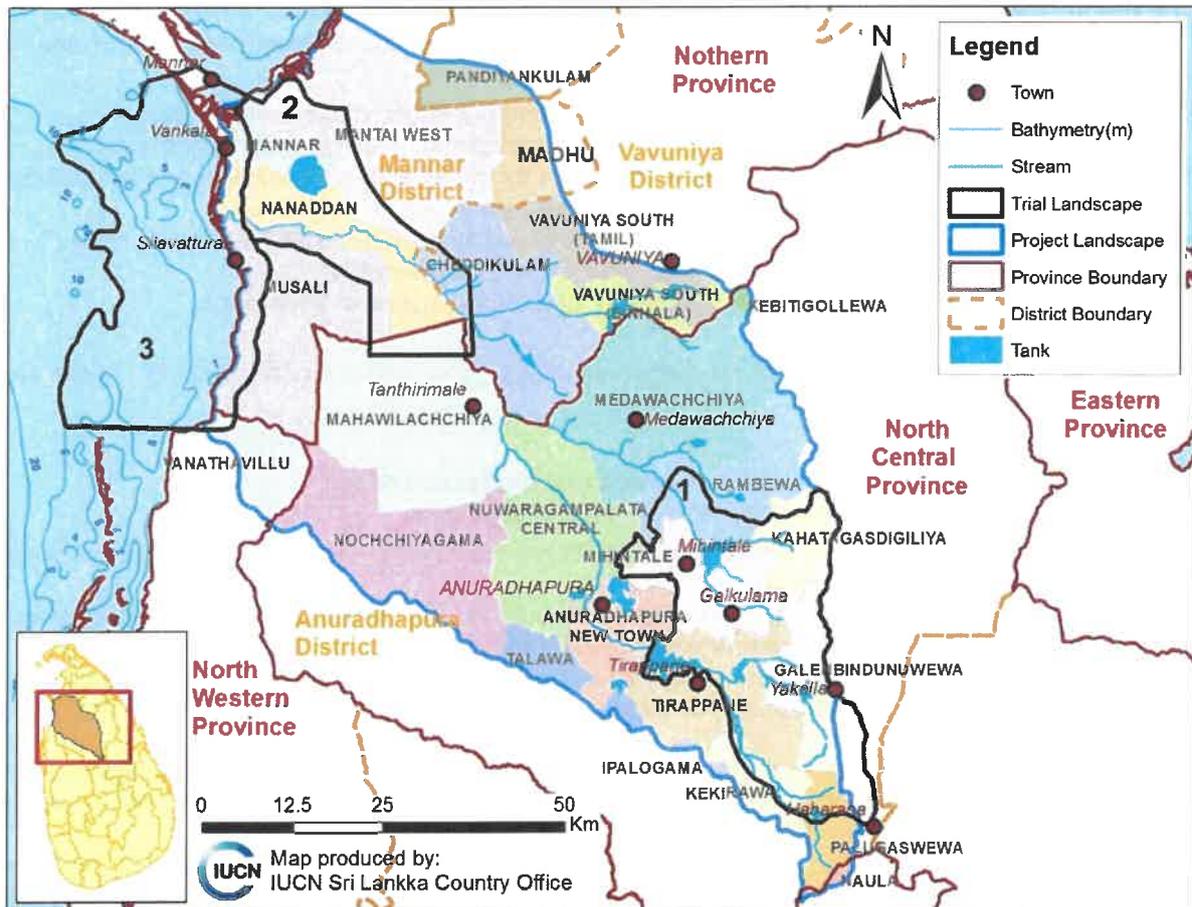
42. The three Trial Landscapes (see Map in Figure 2) and additional maps and descriptions in Annexes L, N, T and R) are as follows:

- **Trial Landscape 1 (TL1):** Maminiya Oya, Upper Kanadara Oya, Upper Weli Oya and Lower Weli Oya sub watersheds of the upper Malwathu Oya Basin.
- **Trial Landscape 2 (TL2):** Lower Malwathu Oya riverine forests including the Mavillu Conservation Forest and other forests connecting the Madhu Road and Wilpattu National Parks and extending to the Giant's tank and its downstream feeder tank system.
- **Trial Landscape 3 (TL3):** The land bordering the Malwathu Oya Estuary, and the adjacent seascape, including coral reefs of Vankalai, Arippu, and Silavaturai, Pearl Banks of Mannar, Cheval Bank and the sea grass beds in shallow coastal seas.

<sup>50</sup> <https://doi.org/10.1111/conn.12317>

<sup>51</sup> <https://doi.org/10.1016/j.fishres.2012.12.004>

<sup>52</sup> <https://openknowledge.worldbank.org/bitstream/handle/10986/26843/115545.pdf?sequence=1&isAllowed=y>



**Figure 2: Map of the Project Landscape**

**Table 1 Trial Landscapes, Districts, DSDs and GN Divisions**

TL	Area in km <sup>2</sup>	Approximate human population of each TL	District or districts in which each TL lies	Number of Divisional Secretary's Divisions (DSD) wholly or partially within each TL	Number of Grama Niladhari Divisions (GND) wholly or partially with each TL
Upper Malwathu (TL1)	900	150,000	Anuradhapura	10 Kekirawa, Thirappane, Mihintale, Rambewa, Kahatagasdigiliya, Galenbindunuwewa, Palugaswewa, Nuwaragampalatha-Central, Nuwaragampalatha-East, Nachchaadowa	158
Lower Malwathu (TL2)	554	50,000	Mannar Vavuniya (small part)	7* Vengala-Cheddikulam, Nanaddan, Madhu, Manthai West, Mahavilachchiya, Musalai, Mannar	54
Malwathu Estuary (TL3)	1,056 (land 181, sea 875)	40,000	Mannar Puttalam (very small part)	4* Nanddan, Musalai, Mannar, Vanathavillu	49

\* Three DSDs (in italics) overlap TLs 2 and 3 and TLs 2 and 3 also share a common boundary. The main emphasis will be on the marine environment in TL3 and the terrestrial environment in TL2 but there will also be joint planning.

43. Figures 4-6 in Annex S show the Focal Village Clusters (four to seven in each TL) from which the final two FVCs per TL will be selected before Inception.

### 3.5 Project Components

44. The Project Objective will be realized through the completion of four interrelated and complementary components carried out simultaneously:

- **Component 1:** Institutional capacity building, and enhanced cross-sectoral, trans-jurisdictional and donor agency co-ordination in planning, decision-making and action
- **Component 2:** Design of landscape strategies for biodiversity conservation and sustainable livelihoods and upward integration into existing policy
- **Component 3:** Participatory land-use planning and livelihood-focused interventions to demonstrate socio-economic benefits of biodiversity conservation
- **Component 4:** Monitoring and evaluation, and dissemination of knowledge

Section IV 4.1 gives a breakdown of the results expected - the Outcomes and Outputs - under these Components.

### 3.6 General principles of project management and implementation:

45. The Project will operate under the following general principles

- Operate within existing policy and institutional frameworks and with reference to existing categories of land protection;
- Keep the scope narrow enough to achieve results during the project period, but wide enough to have continued impact after the end of the project;
- Emphasize the importance of highly qualified and effective project personnel (including, among others, a Project Manager and a Senior Technical Adviser) based full time in the Project landscape;
- The Project Document is not over-prescriptive, thus allowing for adaptive management and maintaining flexibility in activities, including catalyzing conservation and livelihood investments that depend on the results of community and government consultations;
- Demonstrate and publicize Project results to stimulate continuation and replication elsewhere;
- Emphasize short, regular and sustained interactions with local government and community stakeholders<sup>53</sup> for the duration of the Project;
- Involve central government in seeking feedback on project reports, in capacity building in different sectors, and in drawing up recommendations for possible policy changes;
- Synergize and collaborate with relevant donor-funded and government-funded projects, in particular the UNDP/GEF/GOSL Environmentally Sensitive Areas project; the ADB/GOSL Northern Provinces Sustainable Fisheries Project and the GIZ/GOSL Management of Wilpattu National Park and Influence Zone Phase 2) (see Section IV 4.2);
- Collaborate with private and public sector partners in order to benefit from local knowledge and steady input of international best practice experience;
- Upward integration of results to established planning frameworks so that Project results feed directly into usual decision-making processes of government, rather than into a standalone strategy;
- Contribute to biodiversity conservation through engagement with donor agencies regarding mainstreaming of biodiversity over entire poverty alleviation and rural development programmes;
- Project staff will be assigned to work full time in each of the Trial Landscapes in order to provide intensity and continuity in the consultative planning processes;
- Take particular care to avoid common pitfalls, or flawed assumptions<sup>54</sup> in planning livelihood-focused interventions for biodiversity conservation. "Alternative livelihoods", for example, unless well planned, can easily become supplementary sources of income that may even subsidize the original damaging practices;
- Consider economic and non-economic benefits side by side when assessing community outcomes: In an analysis of 34 livelihoods-focused conservation projects, empowerment, security and social network development were more significant short-term outcomes than income generation<sup>55</sup>; and

<sup>53</sup>

<sup>54</sup> <https://www.ncbi.nlm.nih.gov/pubmed/26310510>

<sup>55</sup> <https://www.cambridge.org/core/journals/oryx/article/disentangling-the-links-between-conservation-and-poverty-reduction-in-practice/D60B5A9E113B551E1E45433E1B57E72D>

- Environmental and biodiversity assessment will be required for every project intervention - for those undertaken in the name of conservation just as much as those undertaken for economic development.

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## IV. Results and Partnerships

### 4.1. Expected results

46. The project will address the requirements of wild species and humans through a biodiversity mainstreaming and conservation design approach at the landscape scale, accompanied by community-centred land-use planning with livelihood-focused interventions at the village scale. The expected long-term impact of the project is the *reduction of direct threats to biodiversity through improved planning and decision-making in natural resource management and tourism*. By the end of the project (ToC): E1, E2, E3), *mainstreaming of biodiversity conservation will have led to more sustainable practices in agriculture, fisheries, forestry and wildlife conservation, and tourism in the three Trial Landscapes, and will have been reflected upward into District development plans and government decision making*. Capacity in mainstreaming will have been strengthened at national and regional levels and ongoing provision of in-service and pre-service training in government training facilities will have been institutionalized.

47. Biodiversity conservation and agriculture are closely intertwined but have not been linked in the minds of the general public, so a key aspect of mainstreaming biodiversity into agriculture will be increasing the understanding and involvement of people in biodiversity conservation in agricultural landscapes. Appealing to the farmer, or indeed the fisher, to take into account the needs of the international community or the nation for biodiversity conservation provides insufficient incentive for him or her to change damaging practices in favour of biodiversity. The long-term solution is *to establish the policy, market and social conditions under which farmers, fishers and other decision makers take into account impacts on biodiversity including both the importance of biodiversity for their own livelihoods and its importance for the wider public good – finding approaches to biodiversity conservation that link people's own interests and wider biodiversity conservation objectives*.

48. Slow and steady community-centred planning at village and DSD levels, with and without public-private partnerships, will have demonstrated how sound sustainable tourism ventures can provide livelihood benefits based on biodiversity conservation. Innovative approaches to payments for ecosystem services, in mangrove restoration, tourism and fishing for example, will have been demonstrated. Dissemination of Project results and experience will have interested government and others in replicating mainstreaming and landscape-based conservation design in other parts of Sri Lanka. Monitoring of project impacts will continue after the project through a mechanism, designed during the Project, for which ongoing technical and financial support will have been guaranteed by government.

49. The main expected results, or Outcomes, and the intermediate steps or Outputs, required to achieve each Outcome, are listed below under each Component, together with The ToC links at the Overall level (Annex K2, K3) between Outcomes and Pre-conditions, and between the Outputs and Mechanisms or Required Changes. Figure 3 below shows the whole project structure in a single diagram.

50. The Project Document defines Outputs under which activities will be planned. In order to maintain flexibility and to avoid raising expectations of certain interventions that end up not being advisable, the Output descriptions have been kept general. **Annex A** (Multi-year work plan) gives the steps foreseen under each Output, and these indicate the kinds of activities that will be required. Specific interventions linked to livelihoods and ecosystem management will be identified in collaboration with communities and government agencies during various participatory planning processes under the Project.

**PROJECT OUTLINE**  
**Managing together: Integrating community-centered, ecosystem-based approaches into forestry, agriculture and tourism sectors**

<p><b>Long term goal</b> Integrated, ecologically sensitive management of natural resources that protects biodiversity, reduces resource conflicts, and maintains ecosystem services. (PIF p12).</p>			
<p><b>Immediate objective</b>                  To strengthen protection of globally significant biodiversity through mainstreaming of conservation and sustainable practices into land use planning and sectoral decision-making in forestry, agriculture and tourism sectors</p>			
<p><b>Component 1</b> Institutional capacity building, and enhanced cross-sectoral, trans-jurisdictional and donor agency co-ordination in planning, decision-making and action</p>	<p><b>Component 2</b> Design of landscape strategies for biodiversity conservation and sustainable livelihoods and upward integration into existing policy</p>	<p><b>Component 3</b> Participatory land-use planning and livelihood-focused interventions to demonstrate socio-economic benefits of biodiversity conservation</p>	<p><b>Component 4</b> Monitoring and evaluation, and dissemination of knowledge</p>
<p><b>Outcome 1:</b> An enabling environment to mainstream integrated approaches into natural resource management in production sectors and landscapes</p>	<p><b>Outcome 2:</b> Natural resource management, tourism and land use are guided by a strategic design for biodiversity conservation and sustainable livelihoods across multiple jurisdictions in three Trial Landscapes in the Northern and North Central Provinces.</p>	<p><b>Outcome 3:</b> Biodiversity conservation priorities shape sustainable livelihoods in natural resource management and tourism in six Focal Village Clusters in three Trial Landscapes in the Northern and North Central Provinces.</p>	<p><b>Outcome 4:</b> Monitoring and evaluation, and dissemination of project methods and results contributes to wider application of landscape approach to mainstreaming of biodiversity</p>
<p>Output 1.1 Draft ministerial directives and subsidiary agreements for special working arrangements between government agencies and administrations in the three Trial Landscapes                  Output 1.2. Integrated Landscape Management and Mainstreaming Modules for institutions offering in-service and pre-service training of state employees                  Output 1.3. Coordination with the wide range of relevant development projects, programmes, and public and private sector initiatives operating in the same geographical area                  Output 1.4. Recommendations and proposals for changes in policy, institutions or practice that will be required for replication of the landscape conservation design approach to mainstreaming to the whole Project landscape and nationally</p>	<p>Output 2.1. Public information and involvement programme designed and implemented across all Districts and Divisional Secretariats represented in the Trial Landscapes                  Output 2.2 Mechanisms for trans-jurisdictional and multi-sectoral consultations in the landscape conservation design process                  Output 2.3 Strategic conservation designs for each Trial Landscape for incorporation into government decision making and local development plans                  Output 2.4 Guidelines for mainstreaming biodiversity conservation into natural resource management, tourism and land use planning.                  Output 2.5 Technical and material support for immediate actions required under the agreed strategic designs</p>	<p>Output 3.1. Public information and involvement programme designed and implemented in the focal village clusters                  Output 3.2. Participatory mechanisms to bring together community and government stakeholders in a landscape conservation design approach to local land use planning                  Output 3.3. Collection of biophysical and socio-economic information required for analysis and reference before and during community-centred land-use planning.                  Output 3.4. Six village cluster land-use plans that provide opportunities for novel or modified livelihoods linked with biodiversity conservation                  Output 3.5. Technical and material support for livelihood changes under the land-use plans in the fields of tourism and natural resource management</p>	<p>Output 4.1 Monitoring protocols and necessary institutional agreements to assess the impacts of the landscape conservation design and livelihood-focused interventions both during and after the end of the project                  Output 4.2 Periodic reviews and evaluations of monitoring data collected during the project                  Output 4.3 Publications, films, exhibitions, databases that publicize the methods used and the results of the project interventions                  Output 4.4 Organized visits by the public and by national and regional government officials to project sites to demonstrate and explain project activities and achievements                  Output 4.5 Talks and presentations by project staff in Colombo and in District and Provincial centres to explain project methods and results</p>

**Figure 3: Project structure**

**Component 1: Institutional capacity building, and enhanced cross-sectoral, trans-jurisdictional and donor agency co-ordination in planning, decision-making and action**

**Outcome 1: An enabling environment to mainstream integrated approaches into natural resource management in production sectors and landscapes (ToC: P1, P2, P3)**

52. Outcome 1 ensures the background conditions necessary to achieve the Project Objective at the field level and subsequently to have the models established at the Project sites (Trial Landscapes) replicated elsewhere. Before the Project even begins, authorization and facilitation from relevant government ministries will be required to arrange the administrative actions and mechanisms involved in cooperation across local government sectors and jurisdictions for the Project's landscape conservation design work, local land-use planning and livelihood-focused interventions.

53. The second main enabling activity will be training of government officials in all relevant sectors at central and local levels so that staff are available both to deliver the project effectively and to roll out Project models regionally and nationally. Third, under this Outcome the Project will initiate and maintain coordination among the large number of other projects and programmes that overlap with it geographically and/or thematically in order to build on progress made already and to take up the obvious opportunities for synergies. A Project Learning and Communications Officer (LCO) will be responsible for keeping track of all stakeholder interactions and the specific publicity and involvement campaigns under Outputs 2.1 and 3.1 described below. The full plan will be developed during the Inception Period, and resources are provided for in the TBWP under full time project staff, and additional costs, including travel, of up to US\$10,000 are allowed for in the M&E budget (para 149). Lastly, although the Project will deliberately avoid involvement from the beginning in policy formulation, towards the end of the Project recommendations will be developed and proposed for changes in policies and established practice that are indicated by results achieved with communities and local government.

54. So achievement of Outcome 1 requires the following intermediate Outputs (see Annex A for timing):

**Output 1.1: Draft ministerial directives and subsidiary agreements for special working arrangements between government agencies and administrations in the three Trial Landscapes (ToC:R4)**

The project will contribute to drafting of a Cabinet Paper on piloting ecosystem-based INRM approaches in the Project Landscape. Government directives will instruct relevant local government agencies and administrations to collaborate fully with the project over the four years of the project's duration. As the project proceeds, any requirements for legal or administrative changes in procedures will be identified and will become the basis for recommended changes in government planning procedures before trial landscape results start to be replicated elsewhere. There is precedent in the arrangements made for the Integrated Strategic Environmental Assessment of the Northern Province<sup>56</sup>.

**55. Output 1.2: Integrated Landscape Management and Mainstreaming Modules for institutions offering in-service and pre-service training of state employees (ToC:M1)**

Training will be focused on requirements, and a training needs analysis will be carried out to cover national level requirements on the one hand, and local requirements linked directly to project implementation on the other. An initial TNA for the local planning phase will be followed by a second TNA after the landscape designs have been completed. Activities will be coordinated with the capacity development under the UNDP/GEF MMDE Enhancing Biodiversity Conservation and Sustenance of Ecosystem services in Environmentally Sensitive Areas project (see Section 4.2, Table 2). Training under the project will whenever possible and appropriate be done through an institution under a "training of trainers" and "establishing curriculum" approach, so that the training will be available after the project has been completed. There will be a few cases in which an institutional setting for training will not be practical, and in such cases agricultural and fisheries extension officers will be trained to deliver the training again when necessary.

56. Existing pre-service and in-service training institutions/parent organizations with which the Project will work include Sri Lanka Institute of Development Administration (SLIDA), Sri Lanka Forestry Institute, Agricultural in-service training centres, National Wildlife Training Centre Giritale, Sri Lankan Institute of Tourism & Hotel Management (SLITHM), National Institute of Education (NIE), Universities (in Colombo, Jaffna, Rajarata, Sabaragamuwa and Wayamba), Land Use Policy Planning Division (LUPPD) etc. including their local arms, and the National Aquatic Resources Research and Development Agency (NARA). The Project will also work on course development and delivery with the Coastal Aquaculture Development Training Centre (CADEC) which is to be set up in the Project landscape under the Northern Province Sustainable Fisheries Development Project (see Section IV 4.2). Modules will be designed for existing vocational pre-service and in-service training institutions to familiarize students with the concept and practice of mainstreaming biodiversity and ecosystem services into natural resource management in particular and economic development in general. In-service training will focus on topics that have immediate relevance to the trainees' work. Selection of trainees is important too: one cannot teach anyone to become a trainer: aptitude and interest are essential requisites.

**57. Output 1.3: Coordination established/enhanced with relevant development projects, programmes, and public and private sector initiatives operating in the same geographical area (TOC:M7)**

The urgent need for biodiversity to be mainstreamed into economic development, and into natural resource management in north-western Sri Lanka in particular, has been widely recognized, and is reflected in a significant number of projects and programmes. There will be mutual benefits for all if coordination can be achieved. Progress towards the MT Project objective will be hastened by effective synergies with such projects and programmes. Every opportunity will be taken also to contribute to biodiversity conservation through engagement with donor agencies, including UNDP, regarding mainstreaming of biodiversity over their entire poverty alleviation and rural development programmes. The immediate target of this output is the establishment of routine meetings at local, district and national levels and regular exchanges of news, results and ideas, jointly and separately, with, among others, the wide range of projects, programmes, and public and private sector initiatives listed in Section IV 4.2. For example, a proposal is already under discussion to coordinate all human-elephant conflict

<sup>56</sup> [https://www.iucn.org/sites/dev/files/content/documents/2017/isea\\_north\\_final\\_report.pdf](https://www.iucn.org/sites/dev/files/content/documents/2017/isea_north_final_report.pdf)

interventions in the Anuradhapura district under the ESCAMP, GIZ, ADB and UNDP projects (see Section 4.2 Table 2) through one or more Divisional Secretariat-led sub-committees.

**58. Output 1.4: Recommendations and proposals for changes in policy, institutions or practice that will be required for replication of the landscape conservation design approach to mainstreaming to the whole Project landscape and nationally. (ToC: M9)**

A deliberate decision has been made to work within existing policy and legislation but to use the Project as a demonstration of the potential of the mainstreaming approach to biodiversity conservation at landscape scales. However, towards the end of the Project recommendations for changes in policy and practice that would facilitate mainstreaming and landscape conservation design will be developed and advocated. This will run simultaneously with an intensive programme including online and print publications, public and private addresses, and field demonstrations aimed at dissemination of project results and persuading or inspiring government to build on those results (See Outcome 4). One potential focus would be to advocate using the status of biodiversity, the environment and ecosystem services, alongside GDP, in performance assessments of local economies, and ultimately the national economy.

59. Cross-border coordination is another possible area for recommendations, specifically in managing the fishing activities of Sri Lankan and Indian vessels. Indian vessels are reported to cause considerable damage to sea bottom habitats and to take a wasteful amount of by-catch, and although it will be beyond the capacity of the Project to make any changes here, the Project should be in a position after 18 months or so to make responsible and well-informed reports and recommendations. As the Trial Landscape conservation designs are finalized and implemented the natural next step will be to scale up to the Overall Project Landscape. Impacts of irrigation projects in particular, such as the Upper Elaheera Canal Project, and the Lower Malwathu Reservoir Project (see Section IV 4.2) will have been the focus of analysis as they affect the TLs, and for that reason, among others, the links and lessons learned will be easier to demonstrate than at the national level. Guidelines on mainstreaming developed under Output 2.4 (see below) will form the basis for recommendations under Output 1.4. The trade-offs between "land sharing" and "land sparing"<sup>57</sup> for biodiversity conservation and livelihoods in the context of the Project (see under Output 2.4) will be addressed in policy recommendations.

**60. Component 2: Design of landscape strategies for biodiversity conservation and sustainable livelihoods and upward integration into existing policy**

***Outcome 2: Natural resource management, tourism and land use are guided by a strategic design for biodiversity conservation and sustainable livelihoods across multiple jurisdictions in three Trial Landscapes in the Northern and North Central Provinces (ToC: P4, P5).***

61. These strategic designs for biodiversity conservation will identify the actual requirements and priorities for biodiversity conservation in each Trial Landscape. These include requirements for habitat connectivity, including for large species such as the Asian Elephant, the Leopard and the Sloth Bear, and potential influences of agricultural and fisheries development, irrigation works such as reservoirs and canals (notably the large Lower Malwathu Oya Reservoir<sup>58</sup>), tank rehabilitation, and road and rail construction. Proposals for additional protected areas, including the potential declaration of parts of the Trial Landscapes as Ecologically/Environmentally Sensitive Areas may be made.

62. Key to the successful achievement of Outcome 2 will be the necessary collaboration across multiple jurisdictions including DSDs, Districts, GNDs and Provincial authorities; a well-informed and supportive public; an inclusive and integrated planning process where conservation agencies and production-oriented agencies design together with communities; and one that provides for additional data collection where required, possibly through carrying capacity assessments and strategic environmental assessments; and an action programme to implement the approved strategy. The results of research (Outputs 2.3 and 3.3) and monitoring (Output 4.1) together will be used to measure and predict the environmental and social impacts of economic development activities and decisions, including trends in agriculture, fisheries, tourism and infrastructure development and to plan project initiatives in

<sup>57</sup> <http://press-files.anu.edu.au/downloads/press/p346093/pdf/ch09.pdf>

<sup>58</sup> Malwathu Reservoir

livelihoods and planning guidelines. The strategic designs will feed into work under other development projects, programmes, and public and private sector enterprises in the Trial Landscapes, including interventions on District development strategies, farming and fishing practices, aquaculture and hatcheries, tourism infrastructure and activities, irrigation infrastructure, harbour and landing stage infrastructure, and other local initiatives in landscape approaches to mainstreaming biodiversity.

A full time Senior Technical Advisor will lead the landscape strategic planning for all three Trial Landscapes.

63. Achievement of Outcome 2 requires the following intermediate Outputs (see Annex A for timing):

**Output 2.1: Public information and involvement programme designed and implemented across all Districts and Divisional Secretariats represented in the Trial Landscapes (ToC: M2, M9)**

A comprehensive public information and involvement programme will be implemented over the whole duration of the project, focused on public involvement in development and implementation of the strategic conservation designs. It will include, among other things, excursions for members of the public to local protected areas, notably the Wilpattu National Park, provision for a Mobile Education Unit - a vehicle that will travel around the three Trial Landscapes to develop a dialogue with people about biodiversity and ecosystem services and well-being, and the relationship between economic development and sustainability of livelihoods based on natural resources. The Project Learning and Communication Officer (LCO) (see Section V and Annexes C and D) will have oversight over this Output and will also be charged with managing the Project's stakeholder engagement plan and implementing the public information and involvement programmes under Outputs 3.1, 4.3, 4.4 and 4.5.

64. The Project office (see Section V) will be developed as a centre of excellence - a place where anyone (private individual, journalist or government official) who wants to know about biodiversity conservation and related issues such as the impacts, causes and the imperative for mitigation of global climate change. There will be provision for public consultation on the draft strategic designs (see Output 2.3).

65. The programme will support a critical approach to interpreting the results of surveys and research and hold workshops for journalists in the Project's overall landscape. Publicity material produced by the Project itself will continue a useful life for several years after the project is completed, but it is equally important for the project to establish the *capacity* to produce new works, to organize new seminars, and to inspire new recruits to conservation. Public information and involvement has to continue after the Project, and the Project will work towards establishing this capacity and ensuring that it is resourced adequately and institutionalized appropriately. Opinion and knowledge surveys will be undertaken, but only after rigorous planning of sampling protocols. A potential partner here is the SUDEESA Mannar training centre facility recently established with assistance from Seacology<sup>59</sup>

**66. Output 2.2: Mechanisms for trans-jurisdictional and multi-sectoral consultations in the landscape conservation design established and implemented (ToC: M3, M6)**

Progress has been made during the Project Preparation phase on establishing the best "entry points", and the work done so far will be consolidated early in the Project. District and DSD Agriculture Sub-committees have been identified as appropriate starting points, and through them mechanisms will be agreed for cross-sectoral coordination within each hierarchical level, and trans-jurisdictional coordination across neighbouring jurisdictions at the same level, and between higher or lower jurisdictions. A precedent exists in the Anuradhapura District Facilitation Committee established for the UNDP/GEF MMDE Enhancing Biodiversity Conservation and Sustenance of Ecosystem services in Environmentally Sensitive Areas project (referred to below as the GEF-ESA project), and this will be a good starting point in Trial Landscape 1. This preparatory work feeds into decisions on the composition of the core planning teams and the wider partnerships for development of the strategic conservation designs (Output 2.3)

**67. Output 2.3: Strategic conservation designs for each Trial Landscape for incorporation into government decision making and local development plans (ToC: M4, M6, M8)**

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<sup>59</sup> <https://www.seacology.org/project/sri-lanka-mangrove-conservation-project/>

This output will be delivered following the steps below:

1. Determine the scope of each strategy and prepare full outlines;
2. Decide on core planning teams and wider partnerships for production of each strategic design (see Output 2.2);
3. Negotiate formal agreements with District governments for adoption of the strategic designs in District Development Plans and in decision making processes;
4. Decide on the process for development of each strategic design, and establish a list of assignments with the people responsible and the time table;
5. Involve the public (see Output 2.1);
6. Determine the biophysical and socio-economic information needs, including data on tourism (and actual and potential impacts of various tourism development scenarios), and traditional farming practices (e.g traditional crop varieties) and assess what reliable information is readily available. Any work with databases will also involve preliminary assessment of current availability of data and links with existing databases and compatibility of format;
7. Carry out necessary research and analysis;
8. Develop user friendly GIS maps with advanced tools to facilitate landscape scale planning;
9. Determine current and potential threats and constraints;
10. Analyse consequences of current policies and the level of policy implementation, and recommend changes (alternatives) that could be implemented locally;
11. Define management actions required by responsible agencies and groups to implement recommended alternatives;
12. Identify resource requirements: funds and funding sources, skilled personnel, equipment and facilities, training, public participation in management, information;
13. Develop mechanisms and a timetable for provision of these resources;
14. Prepare a "living document" subject to periodic revisions, for integration into District development plans, other official government plans, and routine decisions in local government; and
15. Allow a review period, before agreement/ratification, during which feedback will be solicited from the public, including community based organizations.

#### **68. Output 2.4: Guidelines for mainstreaming biodiversity conservation into natural resource management, tourism and land use planning (ToC: M3)**

Mainstreaming biodiversity into decision making and planning in each Trial Landscape will be part of the strategic design and the basic principles will be established under Output 2.3. Guidelines for sustainable agriculture, fisheries, tourism and other sectors have been developed in Sri Lanka, published and distributed, and more work is being done under the GEF ESA project. However, work during the Project Preparation Phase concluded that clear, concise guidance with a focus on mainstreaming of biodiversity, is still not available and that for the purposes of the Project both generic guidelines and guidelines tailored specifically for the Project Trial Landscapes will be required. Under this Output the initial focus will be on converting the proposals, decisions and recommendations arising from each strategic design into Technical Guidelines with specific local relevance and application. This lies at the heart of the project's selected approach of demonstration. The guidelines for the Trial Landscapes will then, in conjunction with other partners, including the GEF ESA project, be used to build into higher level regulations/practices with a view that these will be incorporated where possible into local, and eventually national, regulations.

69. There will be separate guidelines for a) land use planning, b) tourism, c) infrastructure development, d) agriculture and fisheries e) forestry, and f) protected area management and they will encompass robust consideration in EIA. Development of these guidelines, and their incorporation into higher level policy, will be done in close collaboration with relevant partners and stakeholders, including the GEF ESA project, and there will be different presentations of the same guidelines according to the target audiences, such as government officials, local development projects, community based organizations, and the general public. Sketches and photographs will be used to maximum effect, and short, attractive video presentations will feed into the public information programmes under Outputs 2.1 and 3.1. Consideration under both this Output and Output 2.3 (the actual strategic design) will be given to the arguments that impacts on populations of wild species would be greatly reduced through boosting

yields on existing agricultural land so as to spare remaining natural habitats<sup>60</sup>. Consultations will be held with organizations that are involved with certified or nearly certified sustainable operations in fisheries or in agriculture (with the blue swimming crab fishery<sup>61</sup> for example). The Project will work with other donor-funded projects in natural resource management in the Project landscape to support incorporation of the agreed mainstreaming guidelines into those projects' work plans and *modi operandi*.

#### **70. Output 2.5: Technical and material support for immediate actions required under the agreed strategic designs (ToC: M5)**

A deliberate decision has been taken (Section III 3.6) not to define specific immediate actions at the Project preparation stage, because that would pre-empt the strategic design process and its participatory and inclusive nature. Technical and material support to implement the landscape strategies is foreseen in these main areas:

1. Integration of the Strategic Designs (Output 2.3) and the Mainstreaming Guidelines (Output 2.4) into District development plans, routine decision making, local regulations, and proposed actions under donor-supported development projects and programmes.
2. Strategic Environment Assessments (SEAs) conducted in the Trial Landscapes to identify threats and land allocation for conservation, such as elephant corridors, and Environmentally Sensitive Areas for example. Carrying capacity assessments conducted in ESAs selected to promote eco-tourism operations.
3. Monitoring and assessment of direct and indirect impacts on biodiversity of tourist operations and tourist development proposals in order to detect and limit damaging practices through regulation.
4. Achievement of reforestation targets whether through natural regeneration or planting.
5. Testing of green certification for tourist operations, including excursions, restaurants and hotels.
6. Monitoring and assessment of direct and indirect impacts on biodiversity of fisheries, water management, agriculture and forestry, and potential impacts of new development proposals in these sectors, in order to be able to detect and limit damaging practices through regulation.

#### **71. Component 3: Participatory land-use planning and livelihood-focused interventions to demonstrate socio-economic benefits of biodiversity conservation**

***Outcome 3: Biodiversity conservation priorities shape sustainable livelihoods in natural resource management and tourism in six Focal Village Clusters in three Trial Landscapes in the Northern and North Central Provinces (ToC: P5, P6, P7).***

72. Outcome 3 focuses on village level land-use planning using the landscape approach to mainstream biodiversity into local livelihoods, including possibly setting aside land for conservation, and linking social and financial benefits to conservation benefits. Outcomes 2 and 3 will start simultaneously and there will be mutual feedback throughout Project implementation. Strategic decisions at the Trial Landscape planning level regarding the wider landscape will be taken into account at the village and village cluster level. The key to this Outcome will be the slow and steady approach to informing, involving and motivating people in local communities through the posting of Community-based Conservation Experts (CCEs) in each of the three Focal Village Clusters. Success in preparing the land-use plans will depend on a well-informed public that feels involved and consulted, effective mechanisms to bring together community and government stakeholders in detailed local land-use planning and reliable biophysical and socio-economic data. After planning has been completed the project will provide technical and material support for implementation of parts of the plans, in collaboration with local communities and local government agencies.

73. Achievement of Outcome 3 requires the following the following intermediate Outputs (see Annex A for timing):

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60 eg. Balmford, A. et al. (2018) The environmental costs and benefits of high-yield farming. *Nature Sustainability* 1, 477–485 <https://www.nature.com/articles/s41893-018-0138-5>

61 <https://www.seafoodsource.com/features/op-ed-sri-lankan-blue-swimming-crab-fishery-improvement-project-proves-validity-of-fip-model>

### **Output 3.1: Public information and involvement programme designed and implemented in the focal village clusters (ToC: M2)**

This Output will in some cases overlap in its activities with Output 2.1, but it has been separated out because the aim is to engage a smaller population, with the focus on the reasons for, and the importance of, village level planning. This Output will involve additional features such as school-based activities that aim to (a) involve and inspire young people in conservation because this can affect attitudes and interests in later life and (b) influence parents through the enthusiasm generated by their children; and ecology and nature-watching clubs outside school that stimulate young people to take an interest in the natural world. Simple projects led by the three full time resident Community-based Conservation Experts (CCEs) to keep bird lists for the local area for example, can be the spark for later attitudes to biodiversity in livelihoods. Excursions will be organized for adults and children from the focal village clusters to local protected areas, including the Wilpattu National Park (as under Output 2.1) and to existing and proposed marine protected areas. Global climate change and its causes will be explained in the context of recent variability in weather locally and globally and implications for the future. The Project's CCEs will be available to guide implementation. The Mobile Education Unit, (see Output 2.1) will visit the focal village clusters with materials targeted specifically at the local community level planning.

### **74. Output 3.2: Participatory mechanisms to bring together community and government stakeholders in a landscape conservation design approach to local land use planning (ToC:M6)**

The resident Community Conservation Experts will guide the planning process including the participation, when required, of experts (in planning processes, biology, sociology and economics), government officials at various levels, and private sector partners that are able and willing to provide backing for livelihood-focused interventions. The main priorities will be for the Project to allow sufficient time, provide sufficient resources, establish working arrangements between government and communities, carry out additional biophysical and socio-economic research as required, engage with a wide range of stakeholders, ensure representativeness on behalf of main interlocutors, and maintain community participation after the plans have been developed. A wide variety of community-based organizations, including farmer, fisher and women's groups, and faith-based groups will be engaged. Formal meetings and workshops will be arranged, but there will be an equal emphasis on developing informal and long term relationships to build up confidence, understanding and ownership of Project aims.

75. Genuine and fully representative participation is required - transparent processes and decision-making structures, frequent community updates, and slow and steady building of trust. The public must believe that their involvement is not merely cosmetic, and that certain decisions are really in their gift. It is important to link conservation with economic benefits, and also with benefits associated with sense of well-being. Many people in the Project landscape are overwhelmed by meeting basic survival needs, so getting people's attention will not be straightforward. Each individual should be listened to, and the Project team will engage with traditionally disempowered groups such as youth and women, and strive to avoid "elite capture"<sup>62</sup>, or the diversion of resources directed towards conservation by elite persons or groups of local residents who thereby frustrate the objectives of conservation. Community empowerment and sense of ownership linked to biodiversity conservation will be built through social development projects of value to all citizens, and the sense of fulfilment and well-being developed through increased confidence and self-reliance.

### **76. Output 3.3: Biophysical and socio-economic information required for analysis and reference before and during community-centred land-use planning (ToC: M8)**

In preparation for the planning process and in order to assist with monitoring progress towards objectives, data collection and analysis will be carried out to record baselines for biodiversity, ecosystem services, agricultural and fisheries practices, the extent, nature and organizers of tourism, and basic socio-economic variables in the FVCs. Stakeholders must be satisfied that accurate biological and socio-economic data are being used in planning, so the results will be published immediately together with initial analyses.

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<sup>62</sup> see for example, Moyo F. et al. (2017) Between Policy Intent and Practice: Negotiating Access to Land and Other Resources in Tanzania's Wildlife Management Areas. *Tropical Conservation Science* Volume 10: 1–17 <https://doi.org/10.1177/1940082917744167>

**77. Output 3.4: Six village cluster land-use plans that provide opportunities for novel or modified livelihoods linked with biodiversity conservation (ToC: M4, M6)**

Community-centred FVC land-use plans will be prepared along similar lines to the Trial Landscape Strategies described under Output 2.3 but the process will be slower, less bureaucratic, and much more local and time-consuming. The resident Community-based Conservation Experts will be working almost full time on these plans because their everyday interactions with local residents and local government officials (in particular the Grama Niladharis) will contribute to their thinking and subsequent formal planning gatherings. Use will be made of community based three-dimensional mapping techniques for visualization of land use options and ecological flow and impacts<sup>63</sup>

78. Although community based conservation initiatives ostensibly promote the principles of good governance, transparency, and accountability, they often lead to practices of exclusion: so the Project will guard against this in its capacity as a link to the private sector in tourism for example, ensuring that all local people are able to benefit in some way from major investments in the area. No specific livelihood-focused interventions will be approved for inclusion in the plans until they have been assessed for environmental and socio-economic impacts. Public sector partnerships will be particularly important in Outputs 3.4 and 3.5, and specialist knowledge will be required too, for example in ornithology when developing any interventions in bird tours that would take in additional sites in the three Trial Landscapes (see **Annex N: Tourism in the project landscape, and potential project interventions**).

**79. Output 3.5: Livelihood interventions to enhance tourism and natural resource management under the land-use plans prepared and implemented (M5, M7, M8)**

A deliberate decision has been taken (Section III 3.6) not to define specific livelihood-focused interventions at the Project preparation stage, because that would pre-empt the planning process and its participatory and inclusive nature. Technical and material support will be given to community members for novel or modified livelihoods in tourism, agriculture, fisheries, forestry and wildlife conservation and that such support will be dependent on screening for environmental and socio-economic impacts, including delayed impacts that might feedback to biodiversity through socio-economic and market changes linked to the intervention. Technical support will include expert analysis of business plans and long term outlooks. Links will be facilitated with private sector investors and market advice will be provided. Training will be provided for specific skills required in novel or modified livelihoods, and for all training carried out under the Project. When such training proves important in achievement of successful livelihood-focused interventions, the Project will work to ensure that similar training is institutionalized locally. It is envisaged that links with the UNDP BIOFIN programme (see Prodoc 4.2) will be taken up for selected interventions in Payments for Ecosystem Services, ecological certification for agricultural produce, harvests of wild plants, fisheries, and tourism operations, premium pricing for traditional varieties of rice, for example, that - a) have sought after flavours and texture and b) require lower inputs of agrochemicals. Conservation agreements, grants and co-management arrangements will also be explored when and where the socio-economic and environmental conditions are suitable. In place of financial compensation for crop damage and loss of livestock to wild animals, the Project will pilot contributions towards the capital costs of well-planned mechanisms (such as elephant fences) to avoid damage in the first place. In such cases contributions, which could be in-kind (generally labour) will be required from the affected people, subject to safeguards such as ascertaining whether the labour being provided is taking people away from other work or from family care and thus increasing hardship unreasonably.

80. Opportunities for livelihood-focused interventions will be identified during planning under Output 3.4. Tourists surveyed in Wilpattu (see Wilpattu NP Management Plan) commented that walking tours would be a welcome addition to the options for nature observation in the area - something that is not possible within the National Park - so this is something that might be built on in the wider landscape where there are attractions for tourists, such as bird-rich patches of habitat. In the Wilpattu Management Plan it is recommended that more women be engaged in tourism and wildlife protection roles because there are many roles, such as driving and guiding that they can perform just as well as men. The project will pursue this recommendation in its livelihood-focused interventions.

<sup>63</sup> <http://pubs.iied.org/pdfs/9312IIED.pdf#page=72> (Chapter 11)  
<http://wwf.panda.org/homepage.cfm?10641/conservation-goes-3d>

## **81. Component 4: Monitoring and evaluation, and dissemination of knowledge**

**Outcome 4: *Monitoring and evaluation, and dissemination of project methods and results contributes to wider application of landscape approach to mainstreaming of biodiversity (ToC: P2)***

82. Outcome 4 covers the monitoring of project results, paying attention to social, economic, environmental and biodiversity impacts, followed by scaling up and dissemination of results and lessons learned. Landscape and livelihoods-based conservation interventions are becoming more and more frequent, but monitoring their long term impacts is lagging behind initiation and implementation of projects. It is important to provide guidance for future interventions that rigorous monitoring of impacts is established and that it continues beyond the normal cycle of 3-5 years. Under this Outcome the post-project monitoring capability will be established; and the results of the project will be disseminated, in publications, through field visits and presentations at the trial landscapes and focal village clusters, and through film and radio and the internet. The Project will increase and widen understanding of mainstreaming and the landscape approach to biodiversity conservation nationally, and lend support to interested individuals by being open to enquiries and requests. The purpose, progress and results of the Project will be publicized to the general public, to government officials, and to intermediaries and partners such as NGOs and journalists. Publications and films will be produced, and the Project will organize a wide range of displays, seminars, Project field visits, and other events and activities for the public and for government officials.

83. As important as training and publicity materials themselves is the confidence and competence of those who will prepare and present them, and lead the overall public information campaigns. Training and publicity materials quickly become dated; they require highly experienced people to take them on, deliver them again, and update or replace them as required. Both human and financial resources are needed here: it is not easy to find someone to head up an effective public information program based on accurate science and wide experience and an extensive support network. The project will include training in public information campaigns for biodiversity conservation under Outcome 1.2, but success in this field is not simply a matter of training: it requires inspiration and natural ability, and the Project aims to identify people able to continue this work during implementation of Outputs 4.3, 4.4 and 4.5.

84. Achievement of Outcome 4 requires the following intermediate Outputs (see **Annex A** for timing):

**Output 4.1: Monitoring protocols and necessary institutional agreements to assess the impacts of the landscape conservation design and livelihood-focused interventions both during and after the end of the project (ToC: M9)**

This Output will deliver the M&E programme of the Project (see Section VII Monitoring and Evaluation, and Section VI Project Results Framework) and will be completed with required human, financial and institutional resources. This Output will include but go beyond the evaluation of the data collected to track the Core Indicators (**Annex B**) and the indicators in the Project Results Framework (Section VI). It will record progress on, and impacts of, specific project interventions under Outputs 1.2, 1.4, 2.3 and 3.4., to assess effectiveness, and to monitor environmental and social risks (see Annex E and H). A Project Officer has been assigned to monitor risks identified under the Social and Environmental Screening Procedure. Output 4.1 also provides for extended monitoring after the project has ended. An institution will be identified for post-project monitoring, and finance will be arranged. Discussions during Project Preparation indicate that this will be done by establishing a government budget line under the Ministry of Environment and Wildlife Resources.

**85. Output 4.2: Periodic reviews and evaluations of monitoring data collected during the project (ToC: M9)**

The Project Results Framework (PRF) indicators and Core Indicators will be reviewed at MTR and at the time of preparing the Terminal Report. Other indicators set up under Output 4.1 will be tracked more frequently. See Section VII for full details of the M&E programme.

**86. Output 4.3: Publications, films, exhibitions, databases that publicize the methods used and the results of the project interventions (ToC: M2)**

The focus under Outputs 4.3, 4.4 and 4.5 will be on Project methods and results and the opportunity will also be taken to inform the public, government officials, NGOs in Sri Lanka and overseas. Links will be formed with similar projects in other countries to exchange news and experience. For example, a Picture Story and video will be prepared in partnership with UNDP Ecosystems and Biodiversity. Databases will be openly available on the Project website, which will be updated daily by the Information and Involvement Officer, who will also handle the Project Twitter feeds and Facebook pages, with reference to other Project staff as required. A quarterly Project Newsletter will report on activities, and will address, through editorials and specialist articles, substantive related conservation issues each month. Publicity materials, particularly those explaining technical aspects of biodiversity conservation will provide resources for teachers and undergraduates and other interested people. Relevant publications, when deemed suitable and effective, will be translated into Tamil and Sinhala for local distribution. The guides to mainstreaming of biodiversity into natural resource management and tourism produced under Output 2.4 will be used at national level to pursue policy changes and policy implementation changes under Output 1.4.

**87. Output 4.4: Organized visits by the public and by national and regional government officials to project sites to demonstrate and explain project activities and achievements (ToC: M2)**

These visits will be scheduled from start of the Project, so that the whole story can be presented transparently, setbacks and all. Among the early visits will be those by print and media journalists. There is scope under the Project to provide financial support in the form of grants to journalists, writers and film-makers who want to tackle difficult biodiversity-related stories that they would not have the time or funds to report on in their routine work. National and regional government officials will be invited in such a way that they meet officials from other sectors and jurisdictions so that the principles of the landscape approach are stressed. Conservation NGOs, rural development NGOs, bilateral and multilateral aid organizations, private sector companies and consortia will be invited during the second half of the Project when there is more to demonstrate. The Project will be open to taking up opportunities for collaboration with organizations that see opportunities in collaborating with, and even financing of, components of the TL and FVC strategies and plans.

**88. Output 4.5: Talks and presentations by project staff in Colombo and in District and Provincial centres to explain project methods and results (ToC: M2)**

These talks and presentations will be scheduled from early on during Project implementation. The LCO will take the lead in arranging and planning these events, but the whole project team (see **Annex C**) will be involved in them. Activities will include one-way passing of information, stimulation of interest, dialogue of various kinds, and training for journalists, amateur or novice film-makers and teachers in the basics of mainstreaming, and biodiversity conservation outside protected areas. Biodiversity practitioners and media professionals will be brought together in workshops where the media professionals will learn more about the issues and the conservationists will learn more about how to make their stories more easily be picked up by the media. Regular conservation "salons" will be held, where talks by guest speakers will be followed by discussion sessions. These will target media groups, private sector business groups such as Biodiversity Sri Lanka, Chambers of Commerce and other business organizations, and government officials (in their departments and jointly when possible). These "salons" will be reported on by invited journalists, through TV, radio or in print. The Mobile Education Unit that will tour the Project landscape will be tasked at intervals to travel to Colombo and other selected cities to set up a Project exhibition and to host Project speakers, in key sites, including University campuses and public parks.

## **4.2 Partnerships**

89. Opportunities for synergies will be taken up through careful coordination and pooling of specialist expertise leading to the optimal application of funds and other inputs towards achievement of planned results across all participating projects and programmes. Agreements have been reached with many of the projects and programmes below with regard to common coordination mechanisms and outreach programmes (under Output 1.3). The Project will also build on the results of recently completed projects through working with the organizations and teams that implemented those projects and are familiar with the results, recommendations and the priorities for follow-up.

90. Table 2 summarizes the most relevant partnerships with projects and programmes. More details are provided in **Annex F4**. The Project will benefit from the partnerships and institutional and coordination mechanisms already established by other projects at national and field-level while maintaining its own emphasis on mainstreaming biodiversity into routine decision making and action by government and communities on natural resource management. The partners fall into six main categories according to thematic field. The Project aims to work under existing policy and authorizations and to prepare and lobby for any required policy changes identified during project implementation.

91. The Project will build further on the landscape approach currently being tested in the field through the GEF-5 project on Environmentally Sensitive Areas (**A1 in Table 2**) and on lessons learnt from the upgraded project of the GEF Small Grants Programme (**A3** below). In particular, the Project will partner with the Environmentally Sensitive Areas (ESA) Project (A1) in development of criteria for the new protection designation of ESA, and ESAs will constitute an option for designation in the strategies for the Trial Landscapes.

92. The Project will coordinate closely with projects that overlap geographically with similar activities (e.g. A2, A3, B1, C1 below) in order to maximize potential impact, sustainability and learning. Cooperation arrangements in sustainable tourism and land-use planning have been agreed with the World Bank ESCAMP project (A4 below) and the GIZ Wilpattu National Park and its Influence Zone Project (**B1** below), which will bring in considerable investment, to enable more effective delivery of donor funding in the same and neighbouring landscapes, and to build national capacities and systems for conservation-friendly, culturally sensitive tourism that provides direct benefits to local communities and avoids the damaging environmental and social impacts of tourism seen in many other parts of Sri Lanka<sup>64</sup>.

93. The Project will build strong partnerships with public and private institutions for financing biodiversity conservation building on the analysis and initial pilots of the BIOFIN (Biodiversity Finance Initiative) project (E1 below). BIOFIN provides the potential for Project partnerships with state banks (green financing), tourism establishments (sustainable product and services certification) and for establishing new financing streams through public-private partnerships for bioprospecting, payments for ecosystem services, and offsets. Four recently completed projects (B1, B2, the national level E2 and the regional F1) have been included in **Table 2** in order to ensure that the learning that has accumulated under those projects should be accessed by the MT Project. This is particularly important in the case of the Dugong Project (E2 below).

94. Collaboration with projects in agriculture, irrigation, fisheries and tourism (C1, C2, C3, C4, C5) will comprise sharing of expertise. For example, the Project will work closely with SLTDA as a key partner in ensuring that development of a tourism resort at Giant's Tank<sup>65</sup> (see C4 below) proceeds with all necessary social, cultural and environmental safeguards, and will perform a similar role with the ADB funded Sustainable Fisheries Project (C1) below. The MT Project will provide biodiversity expertise that will improve environmental performance and enhance the sustainability of development results, and the development projects will provide specialist knowledge to enable proper coordination of livelihood-focused interventions under the MT project.

**Table 2: Partnerships and their links to MT Project Theory of Change (ToC) and Outcomes (further details in Annex F)**

A. Mainstreaming biodiversity conservation into development in forest, farming and coastal landscapes	
Project or Programme Partner	Links to MT Project
A1. UNDP/GEF-5 MMDE Enhancing Biodiversity Conservation and Sustenance of Ecosystem services in Environmentally Sensitive Areas (ESA) <sup>66</sup> 2015-2020	Input to criteria for the new protection designation of ESA, and guidelines on biodiversity-considerations in to production sectors (Outcome 1) Potential establishment of ESAs in the Trial Landscapes (Outcome 2)

<sup>64</sup> See Annex N

<sup>65</sup> <http://www.lankabusinessonline.com/mannar-identified-for-major-tourism-development-ministry/>

<sup>66</sup> <https://www.thegef.org/project/enhancing-biodiversity-conservation-and-sustenance-ecosystem-services-environmentally>

ToC: P2, P3, P1 Project sites in District adjacent to MT Project	Collaboration on capacity building for mainstreaming of biodiversity (Outcome 1)
A2. UNEP/GEF-6 MMDE Healthy Landscapes: Managing Agricultural Landscapes in Socio-ecologically Sensitive Areas to Promote Food Security, Well-being and Ecosystem Health (HL) <sup>67</sup> 2018-2021 ToC: P6, PA1, PA2, P7, PA4, PA9 Project sites in two village cascade systems that overlap with MT Project TL1 in Anuradhapura District - establishment of six model "eco-villages".	Support from MT project in development of biodiversity criteria and guidelines for mainstreaming into agriculture under the HL project (Outcomes 1, 2. ToC: M7, P6, PA1, PA2) Joint involvement in landscape conservation design (Outcome 2) Collaboration and coordination on livelihood-focused interventions (Outcome 3) Sharing of technical expertise to maximise impacts (Outcome 3)
A3. UNDP/GEF Small Grants Programme: Upgrading Country Programmes: Mannar Island to Jaffna Coastal Region Landscape Strategy for Building Social, Economic and Ecological Resilience <sup>68</sup> 2017-2021 ToC: P1, P4, P6, Project sites overlap with MT Project in District (Mannar) and DSs (Nanaddan, Mannar, Manthai West, Madhu)	Collaboration on public information and involvement (Outcomes 2, 3) Incorporation of the SGP landscape strategy into the higher level strategy of the MT project (Outcome 2) Coordination with small (up to US\$90,000) grant recipients under the SGP Landscape Strategy, and lessons learned from such community engagement (Outcome 3)
A4. World Bank Ecosystem Conservation and Management Project (ESCAMP) <sup>69</sup> 2016-2021 ToC: P4, PFW1, PFW7, PT1, PT6, PT9 Project sites in Anuradhapura District overlap slightly with MT Project (eastern side of Trial Landscape 1)	Build on ESCAMP experience on landscape planning and management <sup>70,71</sup> (for Outcome 2) Incorporate results in human elephant co-existence (Outcomes 2, 3) Learn from ESCAMP results on protected area-based tourism (Outcome 3)
<b>B. Protected area management and focal species projects, including outreach programmes</b>	
B1. GIZ / DWLC Supporting Wilpattu National Park and Influence Zone Management in Sri Lanka (WNPISP) <sup>72</sup> Phase 1: 2016-2019, Phase 2: 2019-2022 ToC: P4, P5, P6, P7, PFW1, PFW2, PFW5, PFW7, PFW8 PT9 Project sites overlap with MT Project in Districts (Anuradhapura, Mannar and Puttalam) and DSs (Nanaddan, Cheddikulam, Musali, Mahawilachchiya, and Vanathavillu)	Collaboration on public information and involvement (Outcomes 2, 3) Joint involvement in landscape conservation design (Outcome 2) Learn from WNPISP experience in village based development plans (Outcome 3) Coordination with respect to livelihood-focused interventions (Outcome 3) MT Project contributions to Management Planning (Outcome 1)
B2. UNEP/GEF Enhancing the Conservation Effectiveness of Seagrass Ecosystems: Supporting Globally Significant Populations of Dugongs Across the Indian and Pacific Ocean Basins <sup>73</sup> (DP) 2014-2018 ToC: P6, PF1, PF6, PF7 Multi-country (8) project: In Sri Lanka, overlap with MT Project in Mannar area	Incorporation of DP recommendations regarding Dugong Conservation and in particular marine protected areas in landscape planning (Outcome 2) Input to guidelines to reduce by-catch of Dugong and establish criteria for fisheries and tourism certification that take into account the risk of Dugong casualties and damaging levels of disturbance (Outcomes 2,3)
<b>C. Development of single sectors - fisheries, agriculture (including through irrigation), tourism</b>	
C1. ADB/Fisheries Department Northern Province Sustainable Fisheries Development Project <sup>74</sup> (NPSFDP) 2018-2024 ToC: P1, P4, P6, PF1, PF3, PF5, PF7 Project sites overlap with MT Project in Mannar District and DSs Nanaddan, Musali, Manthai West and Mannar	Input to training courses (Outcome 1) Support with mainstreaming biodiversity considerations into infrastructure and aquaculture development (Outcome 2) Input to and coordination with alternative livelihood proposals and actions (Outcome 3) Monitoring of impacts (Outcome 4)

<sup>67</sup> <https://www.thegef.org/project/healthy-landscapes-managing-agricultural-landscapes-socio-ecologically-sensitive-areas>

<sup>68</sup> <http://www.gefsgpsl.org/GEF-SGP-OPERATIONAL-PHASE%2006English.aspx>

<sup>69</sup> <https://www.escamp.lk>

<sup>70</sup> <http://www.dailymirror.lk/142799/A-novel-approach-for-land-use-planning>

<sup>71</sup> [http://www.escamp.lk/wp-content/uploads/2017/11/Proceedings-of-the-Stakeholder-Workshop\\_-\\_Component-1.pdf](http://www.escamp.lk/wp-content/uploads/2017/11/Proceedings-of-the-Stakeholder-Workshop_-_Component-1.pdf)

<sup>72</sup> <https://www.giz.de/en/worldwide/42570.html>

<sup>73</sup> <http://www.dugongconservation.org/about/>

<sup>74</sup> <https://www.adb.org/projects/49325-002/main>

<p>C2. ADB/ Irrigation Department Mahaweli Water Security Improvement Project, including Northwestern Province Canal Project (NWPCP) and Upper Elahera Canal Project (UECP)<sup>75,76</sup> 2015-2024 ToC: P1, P6, PFW7, PA8, PA9 Transfers water from Mahaweli Basin into one of MT Project's Districts (Anuradhapura)</p>	<p>Take into account potential impacts of the project for biodiversity in the Trial Landscapes (Outcome 2) Feedback of biodiversity data and expertise to the UECP (Outcome 1) Coordination under the UECP Wildlife Management Plan, which includes proposals for new protected areas and for human-elephant conflict management and mitigation (Outcome 2)</p>
<p>C3. China EXIM Bank/Irrigation Department Lower Malwathu Oya Multi-Purpose Reservoir Project (LMORP)<sup>77</sup> 2017- At environmental appraisal stage of planning ToC: P1, P2, P3, P5, P7 3.6 km long dam and 7000 ha reservoir in Anuradhapura District, and irrigation canals extend into Mannar District with modifications to the anicut supplying Giant's Tank, which will have domestic water supply and hydropower generation in addition to providing irrigation water.</p>	<p>Consultation and collaboration regarding potential and actual impacts, positive and negative<sup>78</sup>, on biodiversity downstream and upstream, the disruption to ecological flow and the intensification of agriculture in same areas (Outcomes 2, 3)</p>
<p>C4. World Bank/Irrigation Department Climate Resilience Improvement Project (CRIP)<sup>79,80</sup> 2014-2019 ToC: P3, P4, P5, P6 Malwathu Oya included as one of six CRIP focal river basins for study and mitigation of climate change risk</p>	<p>Feedback of biodiversity information to improve models and policy formulation (Outcome 1) Learning from, and collaboration, on landscape designs and integrated NRM, through CRIP river basin vulnerability assessments and CRIP approach to climate resilience (Outcome 2)</p>
<p>C5. SLTDA Proposals for development of tourism in Mannar, including at Giant's Tank<sup>81</sup> and Anuradhapura ToC: P4, PT4, PT6, PT9</p>	<p>Collaboration in landscape design and development of guidelines for mainstreaming biodiversity into tourism (Outcome 2) Incorporation of community-based tourism into overall plans through collaboration and demonstration of the benefits (Outcome 3)</p>
<p>C6. UNDP/GCF (Green Climate Fund) Strengthening the resilience of smallholder farmers in the Dry Zone to climate variability and extreme events through an integrated approach to water management.<sup>82,83</sup> 2017-2024 ToC: P1, PA8, PA7, PA9 Malwathu Oya included as one of three GCF focal river basins for irrigation improvements, modified agricultural practices and early warning systems for drought and flood</p>	<p>Exchange of expertise on biodiversity and agriculture (including irrigation) respectively (Outcomes 1, 2) Coordination on livelihood-focused initiatives (Outcome 3)</p>
<p><b>D. District Five Year Development Plans</b></p>	
<p>D1. Under European Union Support to District Development Programme (EU-SDDP)<sup>84</sup>, UNDP oversaw completion of Five Year District Development Programmes (2018-2022) for Anuradhapura<sup>85</sup>, Mannar<sup>86</sup> and Vavuniya<sup>87</sup> ToC: P1, P2, P3</p>	<p>This project has terminated but MT project can build on the results</p>
<p><b>E. National level projects</b></p>	

<sup>75</sup> <https://www.adb.org/sites/default/files/project-document/153180/47381-001-eia-01.pdf>

<sup>76</sup> [http://www.mwsip.lk/index.php?option=com\\_content&view=article&id=5&Itemid=127&lang=en#bmap](http://www.mwsip.lk/index.php?option=com_content&view=article&id=5&Itemid=127&lang=en#bmap)

<sup>77</sup> <http://irrigationmin.gov.lk/lower-malwathu-oya-project/>

<sup>78</sup> <http://www.ft.lk/columns/Lower-Malwathu-Oya-project—A-series-of-misconception-errors/4-639380>

<sup>79</sup> <http://projects.worldbank.org/P146314?lang=en>

<sup>80</sup> [http://crip.lk/?page\\_id=862](http://crip.lk/?page_id=862)

<sup>81</sup> <http://www.lankabusinessonline.com/mannar-identified-for-major-tourism-development-ministry/>

<sup>82</sup> [https://www.greenclimate.fund/documents/20182/574760/Funding\\_proposal\\_-\\_FP016\\_-\\_UNDP\\_-\\_Sri\\_Lanka.pdf/c1054662-d375-46cc-ae57-24f3238eac2f](https://www.greenclimate.fund/documents/20182/574760/Funding_proposal_-_FP016_-_UNDP_-_Sri_Lanka.pdf/c1054662-d375-46cc-ae57-24f3238eac2f)

<sup>83</sup> <https://adaptation-undp.org/projects/strengthening-resilience-smallholder-farmers-dry-zone-climate-variability-and-extreme>

<sup>84</sup> <http://www.lk.undp.org/content/dam/srilanka/docs/general/EU-SDDP%20General%20Brochure%20Revised%20Final%2027%2005%202015%20ENGLISH.pdf>

<sup>85</sup> <http://www.dailynews.lk/2018/07/16/local/156972/five-year-development-programme-anuradhapura>

<sup>86</sup> [http://www.lk.undp.org/content/srilanka/en/home/library/democratic\\_governance/The-Five-Year-Mannar-District-Development-Plan.html](http://www.lk.undp.org/content/srilanka/en/home/library/democratic_governance/The-Five-Year-Mannar-District-Development-Plan.html)

<sup>87</sup> [http://www.lk.undp.org/content/srilanka/en/home/library/democratic\\_governance/The-Five-Year-Vavuniya-District-Development-Plan.html](http://www.lk.undp.org/content/srilanka/en/home/library/democratic_governance/The-Five-Year-Vavuniya-District-Development-Plan.html)

E1. UNDP BIOFIN Biodiversity Finance Initiative <sup>88,89</sup> 2016- ToC: P1, P2, P4	Collaboration on payments for ecosystem services and certification of sustainable tourism (Outcomes 1, 2, 3) Work together on refinement of Financial Needs Assessments for Biodiversity Conservation (Output 1)
E2. UNDP/GEF Ensuring Global Environmental Concerns and Best Practices Mainstreamed in the Post-Conflict Rapid Development Process of Sri Lanka through Improved Information Management <sup>90</sup> 2014-2017 ToC: P1, P4, P6	This project has been terminated but MT project can build on results in data management and capacity needs assessments and training activities carried out for planners, policy-makers and decision-makers on national and global environmental issues
<b>F. Regional projects</b>	
F1. Bay of Bengal Large Marine Ecosystem Project	Good source of material on the ecology of the Gulf of Mannar and possible areas and routes for collaboration with Indian partners <sup>91</sup>

### 4.3 Risks and Assumptions

95. A list of the 12 risks (one of them High Risk, 9 Medium Risk and two Low Risk) associated with the Project is given in **Table 3** together with mitigation measures. Seven Environmental and Social Risks (ESR) were identified through the Social and Environmental Screening Procedure (SESP). One of these (Risk 11) is classified as High: it concerns the possibility that people may be asked or forced to relocate from forest areas designated as Elephant Corridors as part of overall conservation management. No Project funds will be applied directly to implementing any land acquisitions or involuntary relocations, but co-financiers of the Project may well apply their own funds to this. If involuntary relocations are implemented with funding from government or from other donor agencies [eg ADB or World Bank under the UECP (C2 in Table 2) and ESCAMP (A4 in Table 2)] the Project will inevitably be associated with them even though no Project funds would have been allocated. This is because any involuntary relocations that take place within the Trial Landscapes would have been included as integral components of the landscape designs developed as part of Project-funded activities in collaboration with local governments and communities. So the risk is one of association and it is essential that the Project engages with the implementers of any involuntary relocations that are approved under the landscape designs and provides a robust framework to ensure that safeguards satisfy UNDP and GEF standards.

**Table 3: Risks and mitigation (see also Annexes H and E)**

**Note:** Red = High Risk, Yellow = Medium Risk, Green = Low Risk

Description	Type	Impact & Probability	Mitigation measures	Owner
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<sup>88</sup> <https://www.biodiversityfinance.net/sri-lanka>

<sup>89</sup> [https://www.biodiversityfinance.net/sites/default/files/content/knowledge\\_products/BIOFIN%20Brochure-%20Summary%20of%20the%20progress.pdf](https://www.biodiversityfinance.net/sites/default/files/content/knowledge_products/BIOFIN%20Brochure-%20Summary%20of%20the%20progress.pdf)

<sup>90</sup> <https://www.thegef.org/project/ensuring-global-environmental-concerns-and-best-practices-mainstreamed-post-conflict-rapid>

<sup>91</sup> <http://www.boblme.org/documentRepository/BOBLME-2011-Ecology-21.pdf>

<p><b>Risk 1:</b> Institutional inertia and administrative inflexibility hinders a) cross-sectoral and trans-jurisdictional collaboration b) enhanced implementation of existing legislation to provide necessary back-up for project interventions at village and landscape level c) adoption of policy recommendations and pre-service and in-service training modules d) establishment and financing of post-project monitoring protocol</p>	<p>Political, Regulatory, Financial</p>	<p>P:2 I:4</p>	<p>Project has planned for enabling central government directives (Output 1.1) to support local and district level actions will be monitored, and reinforced where necessary. The project's approach will be slow and patient, with the Project Management Office and full time Project staff based in the project landscape. If progress is insufficient UNDP CO is ready to step in with high level representations and project funding could be suspended according to UNDP-GEF procedures (PIR, MTR).</p>	<p>Project Manager (PM) &amp; Senior Technical Adviser (STA)</p>
<p><b>Risk 2:</b> The other programmes, projects and private-sector enterprises with which the Project has agreed close collaboration under Output 1.3 do not invest sufficient time and other resources in consultations, coordination, communication and cooperation</p>	<p>Operational</p>	<p>P:2 I:4</p>	<p>UNDP will increase communication and involvement with the concerned organizations well before Project Inception so that by the time of Inception there is full understanding of the need for collaboration. The Project will ensure that momentum is maintained, taking the lead whenever necessary to keep links active, interesting and productive. Project Office and project staff based full time in the project Districts will facilitate this.</p>	<p>PM &amp; STA UNDP</p>
<p><b>Risk 3:</b> Public information and involvement programmes are not sustained after the end of the project</p>	<p>Operational</p>	<p>P:3 I:3</p>	<p>Printed and audio-visual (videos, for example) materials for learning and communication are insufficient to ensure continuation of public information and involvement programmes, so the Project will emphasize training in the skills required to develop and deliver them and will work with MMDE to ensure that such capacity is available post-project. BIOFIN is an important partner in this respect.</p>	<p>PM &amp; STA</p>
<p><b>Risk 4:</b> Technological constraints at local level limits use of GIS for the strategic design</p>	<p>Operational</p>	<p>P:3 I:2</p>	<p>The project will use traditional mapping, including 3D modelling, alongside GIS</p>	<p>PM &amp; STA</p>
<p><b>Risk 5:</b> Local residents do not feel sufficiently involved and valued, are skeptical as a result of being exposed other projects that led to unrealistic expectations, and find that the Project's livelihood-focused interventions produce results too slowly to persuade people to continue with changed behaviour beyond the end of the project</p>	<p>Social, Operational</p>	<p>P:2 I:3</p>	<p>The Project will monitor feelings of involvement, strengthen public information and involvement programmes as appropriate (e.g. arrange visits between focal and non-focal Village Clusters), and modify the participatory methods if indicated. The full-time resident staff in each of the three Trial Landscapes will communicate constantly, and will demonstrate an environmentally friendly, sometimes self-sacrificing, approach by establishing a low carbon footprint - low use of plastics, sensible use of fuel and electricity, attention to sewage and solid waste disposal in project operations.</p>	<p>PM &amp; STA</p>

**RISKS IDENTIFIED BY THE SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE (ANNEX E)**

<p><b>Risk 6:</b> Livelihood-focused interventions might have deleterious impacts on wild species or habitats in protected areas or areas proposed for protection or recognized as environmentally sensitive or critical</p>	<p>Social, Environmental</p>	<p>P:2 I:4</p>	<p>Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ToC: M8). All project interventions will be developed through long and careful participatory processes with local government, village communities and with partner projects and programmes (see III Strategy). Care will be taken to avoid inadvertent impacts on key habitats and species through encouraging influx of people to the sites of livelihood-focused interventions.</p>	<p>CO Project Officer and Project Safeguards Officer</p>
<p><b>Risk 7:</b> Reforestation interventions, whether through natural regeneration or planting, are poorly planned and implemented</p>	<p>Social, Environmental</p>	<p>P:1 I:3</p>	<p>Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ToC: M8). Expert consultation with foresters on the relative merits of natural regeneration and various possible planting regimes considering water availability and the use to which the forest will be put (e.g. wildlife habitat).</p>	<p>CO Project Officer and Project Safeguards Officer</p>
<p><b>Risk 8:</b> Livelihood-focused interventions in fisheries or aquaculture lead to damage to species or habitats</p>	<p>Social, Environmental</p>	<p>P:2 I:4</p>	<p>Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ToC: M8). All project interventions will be developed through long and careful participatory processes with local government, village communities and with partner projects and programmes (see III Strategy).</p>	<p>CO Project Officer and Project Safeguards Officer</p>
<p><b>Risk 9:</b> Livelihood-focused interventions in non-timber forest products, <i>in-situ</i> or <i>ex-situ</i>, lead to damage to species or habitats</p>	<p>Social and Environmental</p>	<p>P:3 I:3</p>	<p>See management measures under Risk 3</p>	<p>CO Project Officer and Project Safeguards Officer.</p>
<p><b>Risk 10:</b> Communities vary of tourism as a livelihood citing possible adverse impacts on cultural values</p>	<p>Social and Environmental</p>	<p>P:2 I:3</p>	<p>On the one hand there will be long and careful discussions with the local people before the project invests in any new tourism development. On the other hand, the project will be very circumspect in its engagement with private enterprise partners to ensure that such partners are genuinely committed to developing enterprises that will provide benefits in the long term through stabilizing impacts of local livelihoods on species and habitats.</p>	<p>CO Project Officer and Project Safeguards Officer</p>

<p><b>Risk 11:</b> In order to implement the Project's landscape conservation strategic designs, government decides on involuntary resettlement of people from proposed elephant corridors and other forest areas.</p>	<p>Social and Environmental</p>	<p>P:3 I:4</p>	<p>The actual risk involved with this project is not involuntary resettlement per se but the impact created by physical displacement being undertaken by other agencies within the project's area of influence. The MT project will have to plan accordingly (e.g. engage with other agencies to ensure that the resettlement risks are being appropriately addressed/managed in a manner consistent with the SES). Further the scale of involuntary resettlement would be limited to less than 25 families living in one elephant corridor and therefore the impact would be minimal.</p> <p>It is impossible to predict a) whether resettlements will be required, and b) where and how many people might be involved but a clear course of action is laid down in case resettlements become the preferred course of action (see Annex E).</p> <p>In view of these circumstances it is clear that the risks of deleterious impacts arising from poorly implemented involuntary relocations taking place in the Trial Landscapes must be addressed proactively. The Project will concentrate on finding solutions that provide for elephant conservation at the same time as ensuring the well-being of local residents and, in particular, avoid involuntary, or indeed voluntary, resettlement. If and when it is decided to pursue any resettlement, or endorse it by association, a full ESIA will be carried out (see end of Annex E) according to standards established in The Sri Lankan National Involuntary Resettlement Policy (NIRP) 2001<sup>92</sup> OP 4.12, UNDP Social and Environmental Standards (SES)<sup>93</sup>, and the updated GEF policy on environmental and social safeguards<sup>94</sup>.</p> <p>In the meantime, the project will include as part of its already planned extensive community engagement a process for vetting options on addressing human-elephant conflict issues, which may include community-determined restrictions on natural resource access and potential</p>	<p>CO Project Officer and Project Safeguards Officer</p>
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			voluntary relocation agreements where appropriate.	
<b>Risk 12:</b> Participation in community-based planning and implementation is dominated by people from traditionally empowered groups and under-represents women and other marginalized people, including those facing uncertain futures as a result, for example, of poverty, the recent three year drought, and land-tenure disputes	Social	P:1 I:3	Project staff will be well trained in community-centred participatory processes and will live on site full time in the communities they are working with, thus building up understanding of social pressures and how to address them in the context of the project. Participatory mechanisms will be slow in pace and will focus on ensuring that there is no "elite capture" of community benefits, and that traditionally less-empowered groups of society are engaged.	CO Project Officer and Project Safeguards Officer

96. The overall SESP risk categorization for the project is High'. Notably, Principle 1 on human rights and standard 5 on displacement and resettlement, have been triggered with a high risk because one of the project sites fall within the proposed elephant corridors, and people may be asked or forced to relocate from forest areas designated as Elephant Corridors as part of overall conservation management. Normally an Environmental and Social Impact Assessment (ESIA) is required for all risks arising from the SESP that are classified as High. This has not been done yet - a) as explained in paragraph 95, and Table 3 above, Project funds will not be used for relocation; b) the number of people that might be affected is not yet known; and c) the second part of Annex E guarantees that an ESIA will be performed if resettlement of people is proposed in the Trial Landscapes whether or not the MT Project is involved in actual funding, because the MT Project will by default be associated with such an action as the landscape designs will identify the forest/wildlife corridors. The mitigation measures detailed (Table 3 and Annex H) also state that all possible alternative solutions will be explored as part of the Landscape Strategies for Trial Landscapes 2 and 3 under the MT Project, before resettlement is recommended under the Project's landscape planning activities. Standards will match or exceed those established in the Sri Lankan National Involuntary Resettlement Policy (NIRP) 2001<sup>95</sup> the World Bank OP 4.12<sup>96</sup>, and UNDP Social and Environmental Standards (SES)<sup>97</sup>.

97. Further assessment of Risk 11 will be undertaken during project implementation. Project activities contributing to these risks will not commence until the assessments have been completed and any required risk management plans have been approved and are under implementation. Assessment and management planning will involve public consultation and public disclosure.

98. Other environmental and social risks (Risks 6,8,9) arise because many livelihood interventions, however well planned, end up with unintended and damaging consequences, both ecological and social. Risk 7 (see Table 3) concerns poor implementation of reforestation which often fails as a result of poor execution and contingency planning. Mitigation of these four risks will be by way of thorough planning, and patient and unhurried consultations and engagement with communities and local government carried out by project staff based full time in the Project Landscapes. The Project Office, manned by a full time staff - Project Manager, Senior Technical Adviser, Information and Involvement Officer, Landscape Conservation Design Expert and administrative officers (see below under Section V, and Annexes C and D) will be in Mannar, and three Community-based Conservation Experts will live and work full time in Focal Villages, one in each of the three Trial Landscapes. There will be a mix of local appointments and appointments from outside the region.

99. As with all projects that seek to engage with communities and with local governments to improve long term well-being and achieve sustainable lifestyles by paying now for benefits later, there are risks

<sup>95</sup> <http://www.treasury.gov.lk/documents/10181/272149/RPF-NAPPP+-+For+disclosure.pdf/aa720af8-413f-4394-9ec7-1693ff487bc3>

<sup>96</sup> <https://policies.worldbank.org/sites/ppf3/PPFDocuments/090224b0822f8a4f.pdf>

<sup>97</sup> <http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html>

associated with the very mechanisms used. Community participation is in general only successful when sufficient time is allowed, when attention is paid to ensuring equitable representation and impartial facilitation. Project time scales are short, and pressure to start interventions sometimes overrides the good intentions to continue relationship building and participatory planning long enough to achieve genuinely shared goals (Risks 2, 5, 12). Governments at all levels are under pressure to raise revenue in the short term and often feel conflicted when asked to hold back economic development now in the expectation of higher benefits in the future. Central and local governments may genuinely believe in and subscribe to conservation projects but succumb to economic and political pressures and the inertia of business as usual and pull back from genuine support to such projects just when they really need it (Risks 1, 3, 4, 5).

100. The remaining risks concern engagement with partners (described in Table 2) who are vital for Project success (Risk 2), and internal project management commitment to following up on monitoring (Risk 1). Mitigation for both these risks is via pro-active measures taken and emphasized from well before project Inception by UNDP, the Implementing Partner and Senior Supplier. Falling behind on maintaining good coordination with other projects and programmes has compounded risks, in lost opportunities to improve biodiversity mainstreaming into development projects in agriculture, forestry, tourism, irrigation and fisheries (see C1 to C6, and D1 in Table 2 above). As an example the NPSFP (C1 in Table 2) will build harbours and landing stages and support the establishment of alternative livelihoods to reduce impacts of fishing on marine fish and invertebrate populations. The MT Project will work together with this US\$201 million project<sup>98</sup> to ensure that environmental and biodiversity considerations are mainstreamed into activities that have been recognized as potentially damaging<sup>99</sup>.

101. The risks associated with aquaculture in the Indian Ocean, the South China Sea and the Pacific Ocean, for example, have been well documented<sup>100,101</sup> and the sustainable development of the proposed sea-cucumber and mud-crab hatcheries, including on the Gulf of Mannar coast just west of Mannar, depend on learning from such experience elsewhere. It is highly likely that unless offtake is extremely low, and variable, and therefore not interesting to the Chinese commercially, there will be overharvesting and perhaps local extinction of the species of sea cucumber being harvested. This has already occurred where Chinese-led overexploitation of sea cucumbers has happened<sup>102,103</sup> and could have knock on effects on the reefs due to the ecological roles of holothurians<sup>40,41,104</sup>. The MT project is well placed to add value and stability to such interventions through collaboration during planning and implementation and also through direct contributions to the teaching and curriculum development at the proposed Coastal Aquaculture Development and Training Centre just north of Puliantivu on the Mannar Peninsula.

102. Major assumptions, therefore, are that

- the Implementing Partner, MMDE, will ensure that all necessary authorizations to work with local governments in the Trial Landscapes and the overall Landscape are forthcoming before the date of CEO endorsement so that progress can be made on recruitment, fielding of staff, detailed work-planning and finalization of any outstanding indicator baselines before the Inception Workshop.
- government maintains support for the project throughout regardless of periods of political unrest.

<sup>98</sup> <https://www.adb.org/sites/default/files/project-documents/49325/49325-001-tacr-en.pdf>

<sup>99</sup> The NPSFP PPTA includes reference to the inherent risks to biodiversity and ecosystem services of project interventions, including damage to coral reefs, from construction and dredging waste disposal, shore instability from maintenance dredging operations, deleterious impacts of increased fishing effort as a result of greater harbour capacity Coastal aquaculture is a promising area for sustainable livelihoods, but the environmental and social risks require careful consideration as detailed plans for the aquaculture and livelihood activities are developed.

<sup>100</sup> <https://www.ncbi.nlm.nih.gov/pubmed/22083524>

<sup>101</sup> [http://www.kpress.info/index.php?option=com\\_content&view=article&id=559%3Asea-cucumbers-play-key-ecological-roles-in-the-marine-environment&catid=8%3Anews&Itemid=103](http://www.kpress.info/index.php?option=com_content&view=article&id=559%3Asea-cucumbers-play-key-ecological-roles-in-the-marine-environment&catid=8%3Anews&Itemid=103)

<sup>102</sup> [https://spccfpstore1.blob.core.windows.net/digitallibrary-docs/files/ce/ce37e510ee90077bdf2a03c7f308d1e2.pdf?sv=2015-12-11&sr=b&sig=0v8xKM2K2QOQFRxS9bjJIsDkbFlkIpDPGag4%2Fohb71%3D&se=2019-07-18T12%3A33%3A55Z&sp=r&rscc=public%2C%20max-age%3D864000%2C%20max-stale%3D86400&rsct=application%2Fpdf&rscd=inline%3B%20filename%3D%22FishNews138\\_28\\_Boom.pdf%22search%2Fse](https://spccfpstore1.blob.core.windows.net/digitallibrary-docs/files/ce/ce37e510ee90077bdf2a03c7f308d1e2.pdf?sv=2015-12-11&sr=b&sig=0v8xKM2K2QOQFRxS9bjJIsDkbFlkIpDPGag4%2Fohb71%3D&se=2019-07-18T12%3A33%3A55Z&sp=r&rscc=public%2C%20max-age%3D864000%2C%20max-stale%3D86400&rsct=application%2Fpdf&rscd=inline%3B%20filename%3D%22FishNews138_28_Boom.pdf%22search%2Fse)

<sup>103</sup> <https://www.worldfishcenter.org/content/chinese-market-drives-demand-overexploited-sea-cucumber>

<sup>104</sup> [https://epubs.scu.edu.au/esm\\_pubs/1494/](https://epubs.scu.edu.au/esm_pubs/1494/)

- competent staff are recruited and based full time in the project landscape and the focal villages.
- engagement with communities and local government is slow, thorough and equitable.
- thorough environmental, biodiversity and social assessment of all Project interventions takes place before they are approved.
- satisfactory collaboration is maintained with all stakeholders and partner projects and programmes.

103. Grievance Redressal Mechanism: In line with UNDP standard procedures, the Project will set up and manage a grievance redress mechanism (GRM) as recommended by UNDP (2014) that would address project affected persons' (PAP) grievances, complaints, and suggestions.

#### **4.4 Stakeholder engagement plan:**

104. Annex F1 lists the main organizational stakeholders, their normal roles and responsibilities and their relationship and/or participation with the MT Project. There are a large number, as would be expected in a Project entitled Managing Together and with the aim of "mainstreaming" biodiversity into natural resource management and tourism. The main groups are: a) national level government b) training organizations c) local government d) private sector and trade organizations e) civil society organizations. In addition to organizations there are individual stakeholders who have or may have in the future an interest in the Project. Gender specific stakeholder analysis is given in Annex F2.

105. The Learning and Communication Officer (LCO), based in Mannar, will be responsible for maintaining a Stakeholder Coordination Framework (SHF) that summarizes interests, communications and engagements, and ongoing collaboration with details of mutual feedback and leveraged actions. Based on this a more detailed Stakeholder Engagement Plan will be prepared, covering all stakeholders under the following categories:

- National Government Ministries and Departments
- Local Government administrations
- Local Residents acting independently of any organization
- National Civil Society/Non-Governmental Organizations,
- Local Civil Society/Non-Governmental Organizations
- Military and civil law enforcement agencies
- General Public outside the local area
- Lenders and donors to international development projects
- Universities and other places of learning and research

106. The LCO will plan in detail how stakeholders will be informed, consulted, included in participatory planning for biodiversity (and gender) mainstreaming, involved in the screening of potential Project interventions and given specific responsibilities (including contracts) as part of the overall Project team. The LCO will also be responsible for soliciting and dealing with complaints and grievances against the Project from stakeholders with specific concerns.

107. Selected stakeholders will be invited to Project Inception Workshops, which, following the pattern of consultation and dialogue established during Project Preparation will be held at different levels - in Colombo, in two District centres and in the three Trial Landscapes. Under its Communication and Knowledge Management Strategy the Project will ensure that there is common understanding of the Project's Objective and Outcomes and the methods to be used to achieve them. Dialogue between the Project and stakeholders is vital for the success of the project. New stakeholders will be identified as the Project progresses. Stakeholder engagement is open-ended and unpredictable and is expected to contribute to adaptive management of the Project. Regular (at least quarterly) Joint and individual meetings will be held with stakeholders not routinely involved in Project activities.

108. The project will reach common understanding with local communities and local government through a slow but steady process of dialogue and discussion. Patient listening to the concerns and interests of people in local communities and local government will lead on to establishing genuine dialogue on the Project's aims and expected results, and the desires, aspirations and needs of local

people and government. Once common ground has been established the next step will be to ensure that the Objective and scope of the project are fully understood and accepted, and that false expectations of project results are not built up. Project staff at the beginning, and throughout, will concentrate on listening and learning, accepting differences and building mutual trust, challenging their own and others' assumptions through dialogue.

#### **4.5 Gender equality and empowering women:**

109. Women play important but undervalued roles in local communities (see **Annex G – Gender Analysis and action plan, and ToC**). Men dominate in fishing livelihoods (ToC: SF8) - the only female boat owners are those whose husbands have died. In farming, women work mainly on vegetable cultivation and they gather NTFPs in remaining forest patches in order to maintain viable family livelihoods. Women are paid less than men for casual labour: there is about 50% discrepancy in the fishing sector, with women allocated work in mending nets and drying fish. Recent years of drought have made it more difficult to provide for families, and malnutrition is reported in some Trial Landscapes (**Annex G**).

110. Women often lag behind in being kept informed on current issues and they are not routinely involved in decision-making fora despite recent legislative changes to advance women's representation. Violence against women is a general malaise in the Project areas and child pregnancies, and employment of children (for example in sand-mining ToC: SFW8) are common. Access to vocational training and technology is biased towards men, thus exacerbating a situation in which women play subordinate roles and are not equitably represented in jobs and local decision making. Women have a great deal of local knowledge that can be utilized towards conservation.

111. The Project will follow an affirmative action path because a passive approach of an equitable approach to participation based on qualifications for example, is unlikely to unlock the potential of women participants to break through traditional barriers and become involved in decision making and livelihood modifications. This can result in lasting change in their roles together with real conservation benefits. Project interventions focused on tourism and sustainable land and forest management will provide new opportunities for employment and income stability for the local community, and women in particular will contribute to improving the quality of life of the local communities in parallel with biodiversity benefits.

112. Specific attention will be focused on ensuring the active participation of women, particularly in the livelihood-focused interventions. During project implementation, capacity building and training will ensure that women as well as men are actively engaged in all aspects of the Project, and that there is a bias towards women in participation - potentially in local tourism businesses for example. Local women's organizations (see above under Stakeholder Engagement (Section 4.4 and **Annex F**) will work with the Project to advance these aims. The slow and steady process of capacity building and community mobilization in the Focal Village Clusters (Output 3.2) will include focus on self-help and building of self-confidence among women, and ways in which family commitments can be combined with enhanced participation in society and in steering communities towards sustainable solutions.

113. The Gender Analysis and Gender Action Plan are presented in **Annex G**, and the Stakeholder Engagement Plan with respect to Gender is given in **Annex F2**

#### **4.6 South-South and Triangular Cooperation (SSTrC):**

114. The Project put great emphasis on tracking the successes and failures, the lessons learned, in similar projects focused on mainstreaming and community-centred landscape planning approaches to biodiversity conservation both in the region and elsewhere. The conditions of rural poverty and the requirements for resilience in the face of drought make South-South comparisons and mutual learning particularly relevant. The Project will share experiences, ideas and best practices on issues related to sustainable development and climate change and improving access to information and decision making roles in rural communities in particular. Monitoring and evaluation of this type of project, particularly long-term post project (see Section II 2.2) has not been good, and this Project will help to remedy that.

115. Various fora exist for exchanges of information and lessons learned in sustainable development and biodiversity conservation. The UNDP Ecosystems and Biodiversity<sup>105</sup> post success stories that help to link to promising projects, and UNESCO's Man and the Biosphere Programme provides a good platform for cooperation on research and development, capacity building and networking to share information, knowledge and experiences on a number of issues relevant to the MT Project. It is of no concern that the Project landscape does not fall into a Biosphere Reserve (although the Hurulu Reserve adjoins TL1). The MAB National Committee in Colombo will be involved in making links under the Ecological Sciences for Sustainable Development programme. The Senior Technical Advisor will be responsible for maintaining links within and outside these fora, and keeping attention at all times on the methods being used and progress and intermediate results.

116. The Project will learn in particular from projects and programmes in South Asia, with Government Forest Institutes a potential route for exchange. Community conservation in Nepal, and payments from eco-tourism being used to reduce impacts of local people on natural habitats have been particularly promising<sup>106,107</sup>, and after initial exchanges of information exchange visits for government staff and community members may be arranged. Other initiatives, notably in the Philippines and Indonesia, on scaling-up innovative financing models for biodiversity conservation will be followed and may be incorporated into Project interventions. The project will exchange information with tourism promoters and regulators, for example in Costa Rica and Bhutan, to build on small scale, low impact, high value infrastructure and services for nature-based tourism that does not result in capture of the benefits by major tour operators and the relative deprivation of benefits among local residents. The experience of Sikkim in trying to establish the State as an organic agriculture state will be examined with its benefits, problems (e.g. reluctance of consumers to pay premium prices) and tradeoffs<sup>108,109</sup>.

#### **4.7 Sustainability and Scaling Up:**

117. The Project is designed to provide demonstrations of community-centred ecosystem-based approaches to biodiversity conservation and sustainable livelihoods in the Trial Landscapes and the Focal Village Clusters within those landscapes. The Project deliberately focuses at the local level working within existing policy, drawing and gaining the attention of government, the public, CSOs and the press throughout implementation. Towards the end of the Project the results, methods used, and lessons learned will be distilled into - a) recommendations for changes in policy and practice that will facilitate the successful approaches, and b) guidance for replication of those approaches, regionally and nationally.

118. Capacity building under the MT project deliberately focuses on institutionalization so sustainability and the potential for scaling up is built in. Public information and involvement programmes too will be built with a focus on finding institutions and personnel capable of continuing the work after the Project has finished. As long as the Project achieves success, ensuring that details of methods, activities, impacts and lessons learned at the demonstration sites are disseminated widely will facilitate replication, sustainability and scaling up.

119. The Project's livelihood-focused investments aim to form bonds between the private sector and communities. Biodiversity Sri Lanka<sup>110</sup> has already formed an ecotourism group, members of which are interested in establishing eco-tourism businesses in the northern region according to good corporate environmental and social responsibility criteria.

120. Interventions via communities and local government into natural resource management by their very nature take a long time to take full effect, and certainly longer than the 4 year project duration, so tracking of Project impacts past Project termination, provided for under Outcome 4, is extremely important. Under Outcome 4 - full reporting of all project results and lessons learned will be made in a

<sup>105</sup> [http://www.undp.org/content/undp/en/home/librarypage/environment-energy/ecosystems\\_and\\_biodiversity.html](http://www.undp.org/content/undp/en/home/librarypage/environment-energy/ecosystems_and_biodiversity.html)

<sup>106</sup> <http://siteresources.worldbank.org/INTBIODIVERSITY/Resources/ReducingThreats-web.pdf>

<sup>107</sup> [https://www.academia.edu/6952610/LOCAL\\_PERCEPTION\\_TOWARDS\\_VILLAGE\\_TOURISM\\_A\\_Case\\_Study\\_of\\_Sauraha\\_Village\\_in\\_Chitwan](https://www.academia.edu/6952610/LOCAL_PERCEPTION_TOWARDS_VILLAGE_TOURISM_A_Case_Study_of_Sauraha_Village_in_Chitwan)

<sup>108</sup> <https://www.sikkimorganicmission.gov.in>

<sup>109</sup> <https://www.theguardian.com/global-development/2017/jan/31/sikkim-india-organic-revolution-at-risk-as-local-consumers-fail-to-buy-into-project>

<sup>110</sup> <https://biodiversitysrilanka.org>

range of media, and links will be made to international fora, including through participation in regional and international workshops, conferences and field visits

121. Financial mechanisms, where necessary to sustain Project results, will be developed in conjunction with BIOFIN. Part of the Project approach here will be in seeking increased government funding for biodiversity conservation on the basis of savings made in other sectors as a result of the mainstreaming and landscape strategy approach. Both economic and non-economic benefits of biodiversity for communities will be assessed.<sup>111</sup> Financial Sustainability at local government level will be achieved partly by being very careful to operate on sustainable budgets in the first place. The Project's operating model will keep costs as low as possible thus showing that only limited additional funds are required to follow the landscape conservation design approach.

122. By working with partner projects and programmes and through them with donors and collaborating government agencies (see Section IV 4.2) the Project will exert influence not only on implementation of those projects and programmes but also on projects in the pipeline and not yet conceived.

123. At the local level it is intended that the Trial Landscape Strategic Designs will feed into District Development Plans and the normal mechanisms of decision making in local government, whatever they may be. In this way those designs and subsidiary plans and interventions will be formalized into routine governance. At the national level it is also intended that Project findings are incorporated into programmes for implementation of the National Biodiversity Strategic Action Plan (NBSAP) and other national plans and strategies, such as the National Physical Plan<sup>112</sup> and the Open Government Partnership National Action Plan<sup>113</sup>.

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<sup>111</sup> An Evaluation of Economic and Non-economic Techniques for Assessing the Importance of Biodiversity to People in Developing Countries.

[https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=2ahUKEwjz55buzdvfAhUzt3EKHbptAYAQFjAAegQICRAC&url=http%3A%2F%2Fsciencesearch.defra.gov.uk%2FDocument.aspx%3FDocument%3DWC0709\\_7562\\_FRP.pdf&u sg=AOvVaw2h2u65ja-zPPILH-qhFQTo](https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=2ahUKEwjz55buzdvfAhUzt3EKHbptAYAQFjAAegQICRAC&url=http%3A%2F%2Fsciencesearch.defra.gov.uk%2FDocument.aspx%3FDocument%3DWC0709_7562_FRP.pdf&u sg=AOvVaw2h2u65ja-zPPILH-qhFQTo)

<sup>112</sup> [http://www.acesl.org/download/conference/tp\\_Lakshman%20Jayasekera%20and%20Veranjan%20Kurukulasuriya.pdf](http://www.acesl.org/download/conference/tp_Lakshman%20Jayasekera%20and%20Veranjan%20Kurukulasuriya.pdf)

<sup>113</sup> a) <https://www.opengovpartnership.org/stories/sri-lanka-commits-addressing-wide-range-of-open-government-issues-implementation-found> b) <https://www.opengovpartnership.org/documents/sri-lanka-national-action-plan-2016-2018>

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## V. Project Management

124. The Project has been designed to be cost-efficient and effective. In this case they go together. Placing the project office in Mannar, near the Trial Landscapes puts it in easy daily reach of the majority of its stakeholders and enables it to employ local people with good knowledge and contacts. It also saves time on travel, and money on travel and everyday office expenses when compared with the option of periodic visits of Project staff from Colombo. Experience in GEF projects in other countries bear this out. UNDP will be the Implementing Agency and will be responsible for supervision, project monitoring and guidance of project activities through technical backstopping. IUCN will implement the Project day to day under the overall direction of the Project Director appointed by the MMDE (see Section VIII Governance and Management Arrangements below). The IUCN office in Colombo will be the national base of the Project but the Project staff will all be based in Mannar and in the Trial Landscapes (see Annexes C and D).

125. A Project Manager, Senior Technical Adviser (STA), Learning and Communications Officer (LCO) and Safeguards and Monitoring Officer (SMO) will be based in the Mannar Office, within or near the Mannar District Government building, and close links will be maintained with the District Government staff allowing on-the-job training to take place through working together. Three Community-based Conservation Experts (CCE) will be engaged to live and work in the Focal Village Clusters because that is the only way that the Project will be able to carry forward its aim of establishing genuine participation in its biodiversity conservation initiatives. Volunteers from the Project area and from Colombo and other cities will be encouraged if they have skills and enthusiasm in the right balance. Specialist biodiversity experts visiting the north for fieldwork will be encouraged to use the Project office and it is the intention to establish the Project office as a centre of excellence - a place where anyone (private individual, journalist or government official) who wants to know about biodiversity conservation in the northern provinces automatically refers. Other project staff and consultants are described in **Annex C**, with detailed TOR for full time staff in **Annex D**.

126. As Responsible Party for project implementation, IUCN will be advanced funds and will apply them to Project activities according to pre-agreed quarterly work plans focused on the Outputs. An international consultant (7 months) and eight to ten national consultants (total 36 person months) are planned (see Annexes C and D).

127. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the logos of the Government of Sri Lanka, UNDP and IUCN, on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>114</sup> and the GEF policy on public involvement<sup>115</sup>.

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<sup>114</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>115</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

						the time of project inception.
	<b>Indicator 2 (Ref: GEF Core Indicator 1.1):</b> The number of people, disaggregated by gender, that have benefited either monetarily or non-monetarily, or both, from project-induced changes in livelihoods.	Male 0 Female 0	Male 500 Female 500	Male 1,600 Female 1,600		Participatory Rural Appraisal (PRA) and including interviews and direct observations  Risks: Difficulties in establishing clear criteria for who is a beneficiary prove too great  Assumptions: PRA carried out throughout the project by project staff resident in the Trial Landscapes
	<b>Indicator 3 (Ref: GEF Core Indicator 3.1):</b> Area of tropical dry forest and mangrove in the three Trial Landscapes restored and rehabilitated under a landscape conservation design (hectares)	0 ha	6,000 Tropical Dry Forest: TL1 2,500 TL2 3,000 TL 3 500 Mangrove TL3 20	21,000 Tropical Dry Forest: TL1 8,950 TL2 8,950 TL 3 3,000 Mangrove TL3 100		Surveys and project reports  Risks: Political will, both at national and sub-national levels is insufficient to drive the landscape approach forward  Assumptions: Ministry of Environment and Wildlife Resources builds the necessary support for the project by the time of inception.
<b>Outcome 1</b>	Output 1.1: Draft ministerial directives and subsidiary agreements for special working arrangements between government agencies and administrations in the three Trial Landscapes Output 1.2: Integrated Landscape Management and Mainstreaming Modules for institutions offering in-service and pre-service training of state employees Output 1.3: Coordination established with relevant development projects, programmes, and public and private sector initiatives operating in the same geographical area					
<b>An enabling environment to mainstream integrated approaches into natural resource management in</b>						

## VI Project Results Framework

<p>This project will contribute to the following Sustainable Development Goal (s):</p> <ul style="list-style-type: none"> <li>- Goal 12: Ensure sustainable consumption and production patterns</li> <li>- Goal 14: Conserve and sustainably use the oceans, seas and marine resources for sustainable development.</li> <li>- Goal 15: Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss</li> </ul> <p>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:</p> <ul style="list-style-type: none"> <li>- Driver 4: Enhancing Resilience to Climate Change and Disasters and Strengthening Environmental Management: <i>By 2022, people in Sri Lanka, in particular the vulnerable and marginalized are more resilient to climate change and natural disasters and benefit from increasingly sustainable management of natural resources, better environmental governance and blue/green development</i></li> </ul> <p>This project will be linked to the following output of the UNDP Strategic Plan:</p> <ul style="list-style-type: none"> <li>- Signature solution 4: <i>Promote nature-based solutions for a sustainable planet.</i></li> <li>- Output 1.4.1: Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains.</li> </ul>					
Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Data Collection Methods and Risks/Assumptions	
<p><b>Project Objective:</b></p> <p>To strengthen protection of globally significant biodiversity through mainstreaming of conservation and sustainable practices into land use planning and sectoral decision making in forestry, agriculture and tourism sectors</p>	<p><b>Indicator 1 (Ref: GEF Core Indicators 4 &amp; 5):</b> Area of land and marine habitat administered under a landscape conservation design that mainstreams biodiversity conservation into natural resource management (hectares)</p>	<p>Land 0</p> <p>Sea 0</p>	<p>Land 80,000</p> <p>(TL1 44,000 + TL2 27,000 + TL3 9,000)</p> <p>Marine (TL3) 20,000</p>	<p>Land 155,000 ha</p> <p>(TL1 87,000 + TL2 53,000 + TL3 15,000 )</p> <p>Marine (TL3) 55,000</p>	<p>DSD and District Coordinating Committee Meeting Minutes</p> <p>Draft and Final Strategic Design</p> <p>Risks: Political will, both at national and sub-national levels is insufficient to drive the landscape approach forward</p> <p>Assumptions: Ministry of Environment and Wildlife Resources builds the necessary support for the project's marine and terrestrial work in the three Trial Landscapes by</p>

production sectors and landscapes	Output 1.4: Recommendations and proposals for changes in policy, institutions or practice that will be required for replication of the landscape conservation design approach to mainstreaming nationally.				Copies of the curricula of the training institutions
	Indicator 4: Number of sectoral and vocational training institutions that have adopted modules on mainstreaming of biodiversity into natural resource management, tourism and other economic development	0	4	9	
	Indicator 5: Capacity of institutions as measured by the UNDP's Capacity Development Scorecard	District 18/45 Division 14/45	District 22/45 Divisional 17/45	District 30/45 Divisional 30/45	<p>Communication with the relevant institutions and application of the Scorecard modified to deal with the aspects relevant to mainstreaming</p> <p>Risks: Some of the aspects of the Scorecard not attributable to the project (could modify the Scorecard at Inception to tackle this)</p> <p>Assumptions: Institutions collaborate with project</p>
Outcome 2: Natural resource management, tourism and land use are guided by a strategic design for biodiversity conservation and sustainable livelihoods	<p>Output 2.1: Public information and involvement programme designed and implemented across all Districts and Divisional Secretariats represented in the Trial Landscapes</p> <p>Output 2.2: Mechanisms for trans-jurisdictional and multi-sectoral consultations in the landscape conservation design established and implemented</p> <p>Output 2.3: Strategic conservation designs for each Trial Landscape for incorporation into government decision making and local development plans</p>				

<p>across multiple jurisdictions in three Trial Landscapes in the Northern and North Central Provinces.</p>	<p>Output 2.4: Guidelines for mainstreaming biodiversity conservation into natural resource management, tourism and land use planning.</p> <p>Output 2.5: Technical and material support for immediate actions required under the agreed strategic designs</p>	<p>0</p>	<p>0</p>	<p>18,824</p>	<p>Decisions verified at Provincial Government level</p>	<p>Risks: Decisions may not be carried through in practice, but this indicator focuses on securing protection of some kind on paper</p> <p>Assumptions: Provincial government supports the decisions made during the landscape conservation design work at the Trial Landscapes/District level</p>
<p><b>Indicator 6 (Revised GEF Core Indicator 4.1):</b> Area of High Conservation Value Forest that is under improved management to benefit biodiversity under landscape conservation designs in the three Trial Landscapes (hectares)</p> <p><i>(equivalent to GEF Core Indicator 4.1 but excluding the 1,219 ha of Forest Plantation)</i></p>	<p>0</p>	<p>0</p>	<p>Increase on baseline to be determined by Inception (depending on baseline value)</p>	<p>Increase on baseline to be determined by Inception (depending on baseline value)</p>	<p>Examination of applications and judgements/ responses. See: <a href="http://www.coastal.gov.lk/downloads/pdf/Permit%20Guideline.pdf">http://www.coastal.gov.lk/downloads/pdf/Permit%20Guideline.pdf</a> and <a href="http://cmsdata.iucn.org/downloads/proceedings_of_the_workshop_on_ecological_considerations_in_coastal_development.pdf">http://cmsdata.iucn.org/downloads/proceedings_of_the_workshop_on_ecological_considerations_in_coastal_development.pdf</a> (page 58)</p>	<p>Risks: Ambiguity in the documentation</p> <p>Assumptions: Access to all required documentation</p>
<p><b>Indicator 7:</b> Annual percentage of Minor and Major Permit applications in which biodiversity impact criteria used in decisions by Coast Conservation Department in Trial Landscape 3</p>	<p>[To be determined for the preceding twelve months before Inception]</p>	<p>Increase on baseline to be determined by Inception (depending on baseline value)</p>	<p>Increase on baseline to be determined by Inception (depending on baseline value)</p>	<p>Increase on baseline to be determined by Inception (depending on baseline value)</p>	<p>Examination of applications and judgements/ responses. See: <a href="http://www.coastal.gov.lk/downloads/pdf/Permit%20Guideline.pdf">http://www.coastal.gov.lk/downloads/pdf/Permit%20Guideline.pdf</a> and <a href="http://cmsdata.iucn.org/downloads/proceedings_of_the_workshop_on_ecological_considerations_in_coastal_development.pdf">http://cmsdata.iucn.org/downloads/proceedings_of_the_workshop_on_ecological_considerations_in_coastal_development.pdf</a> (page 58)</p>	<p>Risks: Ambiguity in the documentation</p> <p>Assumptions: Access to all required documentation</p>

	<p><b>Indicator 8:</b> Mean score (+/- SD) on a standard environmental/biodiversity impact assessment score card modified for the project, of tourism operations (a) marine-based (b) land-based in the three Trial Landscapes</p>	<p>To be established by Inception</p>	<p>To be established by Inception</p>	<p>To be established by Inception</p>	<p>Scorecard completed by independent consultant</p> <p>Risks: Unexpected difficulties on the application of the scorecard</p> <p>Assumptions: (i) Good cooperation from local communities in answering questions and providing information.</p> <p>(ii) Adequate time assigned for verification</p>
	<p><b>Indicator 9:</b> Estimate of the annual amount of carbon (tCO<sub>2</sub>-eq) sequestered/ emissions avoided over the twenty years following the project's inception taking into account progress on the development, adoption, and implementation of the strategic designs at the heart of the project.</p>	<p>889,058</p>	<p>889,058</p>	<p>889,058</p>	<p>Recalculation with updated information according to the approach in Annex B</p> <p>Risks: Inherent uncertainties about future events</p> <p>Assumptions:</p> <p>Targets based on the assumption that the strategic design is adopted (Baseline and Mid-term estimates) and followed (End of Project estimate).</p> <p>Good cooperation with communities and local government, and thorough marine and terrestrial surveys and</p>

<p><b>Outcome 3</b>  <b>Biodiversity conservation priorities shape sustainable livelihoods in natural resource management and tourism in six Focal Village Clusters in three Trial Landscapes in the Northern and North Central Provinces.</b></p>	<p>mapping/satellite imagery analysis</p>	<p>Output 3.1: Public information and involvement programme designed and implemented in the focal village clusters  Output 3.2: Participatory mechanisms to bring together community and government stakeholders in a landscape conservation design approach to local land use planning  Output 3.3: Biophysical and socio-economic information required for analysis and reference before and during community-centred land-use planning.  Output 3.4: Six village cluster land-use plans that provide opportunities for novel or modified livelihoods linked with biodiversity conservation  Output 3.5: Livelihood interventions to enhance tourism and natural resource management under the land-use plans developed and implemented</p>	<p>Likely to be zero - to be measured by inception</p>	<p>15,000</p>	<p>50,406</p>	<p>The area of land reaching threshold selected on scorecard . See Annex Z and Bucket et al. 2006 <a href="https://www.researchgate.net/publication/237228931_UNDERSTANDING_ECOAGRICULTURE_A_FRAMEWORK_FOR_MEASURING_LANDSCAPE_PERFORMANCE">https://www.researchgate.net/publication/237228931_UNDERSTANDING_ECOAGRICULTURE_A_FRAMEWORK_FOR_MEASURING_LANDSCAPE_PERFORMANCE</a> )</p>	<p>Risks: Unexpected difficulties on the application of the scorecard  Assumptions: (i) Good cooperation from local communities in answering questions and providing information.  (ii) Adequate time assigned for verification</p>
		<p><b>Indicator 10 (Ref. Core indicator 4.3):</b>  Area of land in production systems under sustainable land management compatible with biodiversity conservation (hectares)</p>	<p>Measured after one year against baseline condition</p>	<p>Decrease on baseline by 10%</p>	<p>Decrease on baseline by 30%</p>	<p>Standard fixed transect survey</p>	<p>Risks: The standard fixed transect is left untouched</p>
		<p><b>Indicator 11:</b> Number of new instances each year of major coral damage along a 1km reef transect in Trial Landscape 3</p>					

		measured by inception			<p>simply to achieve a good score on the indicator</p> <p>Assumptions: The assessment will be done by an independent diving team without broadcasting the links to the indicator</p>
<p><b>Indicator 12:</b> Percentage of interviewees disaggregated by gender in Focal Villages who say that livelihoods have been enhanced as a result of mainstreaming biodiversity into land-use plans</p>	<p>0 (men)</p> <p>0 (women)</p>	<p>20% (men)</p> <p>20% (women)</p>	<p>50% (men)</p> <p>50% (women)</p>	<p>Interviews with sound sampling protocols</p> <p>Risks: Sampling problems make comparisons invalid</p> <p>Assumptions: Well-designed polling.</p> <p>Honest answers from interviewees</p>	
<p><b>Indicator 13:</b> Percentage of key government and community organizations that publicly endorse and commit to each of the six village-cluster land-use plans</p>	<p>Plan 1: 0</p> <p>Plan 2: 0</p> <p>Plan 3: 0</p> <p>Plan 4: 0</p> <p>Plan 5: 0</p> <p>Plan 6: 0</p>	<p>Plan 1: 30</p> <p>Plan 2: 30</p> <p>Plan 3: 30</p> <p>Plan 4: 30</p> <p>Plan 5: 30</p> <p>Plan 6: 30</p>	<p>Plan 1: 60</p> <p>Plan 2: 60</p> <p>Plan 3: 60</p> <p>Plan 4: 60</p> <p>Plan 5: 60</p> <p>Plan 6: 60</p>	<p>Minutes of meetings, publications and official documents issued</p> <p>Risks: Sampling problems invalidate the results</p> <p>Assumptions: (i) Expertly designed protocols (ii) Good collaboration from respondents for interviews and honest replies</p>	
<p><b>Indicator 14:</b> Policy, community readiness for sustainable tourism in the Focal Village Clusters measured by Scorecard in Annex Y</p>	<p>To be determined at Inception - score out of total 205</p>	<p>Increase of 15% on baseline score out of 205</p>	<p>Increase of 35% on baseline score out of 205</p>	<p>Scorecard completed by independent consultant</p> <p>Risks: Unexpected difficulties in the</p>	

					<p>application of the scorecard</p> <p>Assumptions: (i) Good cooperation from interlocutors in answering questions and providing information.</p> <p>(ii) Adequate time assigned for verification</p>
<p><b>Outcome 4</b></p> <p><b>Monitoring and evaluation, and dissemination of knowledge of project methods and results contributes to wider application of landscape approach to mainstreaming of biodiversity</b></p>	<p>Output 4.1: Monitoring protocols and necessary institutional agreements to assess the impacts of the landscape conservation design and livelihood-focused interventions both during and after the end of the project</p> <p>Output 4.2: Periodic reviews and evaluations of monitoring data collected during the project</p> <p>Output 4.3: Publications, films, exhibitions, databases that publicize the methods used and the results of the project interventions</p> <p>Output 4.4: Organized visits by the public and by national and regional government officials to project sites to demonstrate and explain project activities and achievements</p> <p>Output 4.5: Talks and presentations by project staff in Colombo and in District and Provincial centres to explain project methods and results</p> <p><b>Indicator 15:</b> Number of (a) villages and (b) DSDs in which independent monitoring of project impacts is taking place according to sound protocols</p>	<p>(a) 0</p> <p>(b) 0</p>	<p>To be determined by Inception based on numbers of villages in Focal Village Clusters</p>	<p>To be determined by Inception, based on numbers of villages in Focal Village Clusters</p>	<p>Interviews and demonstrations from those doing monitoring</p> <p>Risks: Wide range of protocols with wide range of credibility</p> <p>Assumptions: Sufficient time allowed</p> <p>Measures of website traffic, search results on project name, social media reach and engagement.</p> <p>Lists of grey and published literature</p>
	<p><b>Indicator 16:</b> Number of substantial knowledge products that reflect best practices and lessons learned including project results and sustainability strategy.</p>	<p>0</p>	<p>22</p>	<p>42</p>	



## VII Monitoring and Evaluation (M&E) Plan

128. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. *Supported by Component/Outcome Four: Knowledge Management and M&E, the project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.*

129. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP and UNDP Evaluation Policy](#). The UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies<sup>116</sup>.

130. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the **MoE&WR**– the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point (**MoE&WR**) will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Core Indicators) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Core Indicators for all GEF-financed projects in the country, including projects supported by other GEF Agencies.<sup>117</sup>

### **M&E Oversight and monitoring responsibilities:**

**131. Project Manager:** The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

132. The Project Manager will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. ESMP, gender action plan, stakeholder engagement plan etc..) occur on a regular basis.

**133. Project Board:** The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

**134. Project Implementing Partner:** The Implementing Partner is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used and generated by the project supports national systems.

**135. UNDP Country Office:** The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according

<sup>116</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

<sup>117</sup> See [https://www.thegef.org/gef/gef\\_agencies](https://www.thegef.org/gef/gef_agencies)

to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the *independent mid-term review* and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

136. The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

137. The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

138. UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

#### **Additional GEF monitoring and reporting requirements:**

140. Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; SESP, Environmental and Social Management Plan and other safeguard requirements; project grievance mechanisms; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Project Board meetings and finalize the first year annual work plan.

141. The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

142. GEF Project Implementation Report (PIR): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR. The PIR submitted to the GEF will be shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

143. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other

networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

144. **GEF Core Indicators:** The baseline/CEO Endorsement GEF Core Indicators – submitted as **Annex B** to this project document – will be updated by the Project Manager/Team (not the evaluation consultants hired to undertake the MTR or the TE) and shared with *the* mid-term review consultants and terminal evaluation consultants before the required review/evaluation missions take place. The updated Core Indicator measures will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

145. **Independent Mid-term Review (MTR):** An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3<sup>rd</sup> PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The evaluators that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project under review. The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/GEF Directorate. The final MTR report and MTR TOR will be publicly available in English and will be posted on the UNDP ERC by 19 April 2022. A management response to MTR recommendations will be posted in the ERC within six weeks of the MTR report's completion.

146. **Terminal Evaluation (TE):** An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by 19 January 2024. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

147. The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

148. **Final Report:** The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

**149. Mandatory GEF M&E Requirements and M&E Budget:**

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>118</sup> (US\$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	3,300	500	Within two months of project document signature
Inception Report	Project Manager	-	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	-	None	Quarterly, annually
Risk management	Project Manager Country Office	-	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager	13,500		Annually before PIR
Baseline establishment for the PRF	Project Manager CO	8,000	2,500	Before project inception/Y1
GEF Project Implementation Report (PIR)	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
Lessons learned and knowledge generation	Project Manager	34,000	4,000	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager	12,500	None	On-going
	UNDP Country Office			
Stakeholder Engagement Plan	Project Manager	None	None	Completed at the CEO endorsement stage
	UNDP Country Office			
Gender Action Plan	Project Manager	10,000	2500	On-going
	UNDP Country Office			
	UNDP GEF team			
Addressing environmental and social grievances	Project Manager	20,000	20,000	On-going
	UNDP Country Office			
Project Board meetings	Project Board	1,500	500	At minimum annually
	UNDP Country Office			
	Project Manager			
Supervision missions	UNDP Country Office	None <sup>119</sup>	add	Annually
Oversight missions	UNDP-GEF team	None	add	Troubleshooting as needed
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF team	-	None	To be determined.
Mid-term GEF core indicator to be updated by	Project Manager		none	Before mid-term review mission takes place.
Independent Mid-term Review (MTR) and management response	UNDP Country Office and Project team and UNDP-GEF team	20,000	none	Between 2 <sup>nd</sup> and 3 <sup>rd</sup> PIR.
Terminal GEF core indicator to be updated	Project Manager	none	none	Before terminal evaluation mission takes place

<sup>118</sup> Excluding project team staff time and UNDP staff time and travel expenses.

<sup>119</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

<b>Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response</b>	UNDP Country Office and Project team and UNDP-GEF team	35,000	<i>none</i>	At least three months before operational closure
<b>TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses</b>		<b>157,800</b>	<b>30,000</b>	

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## VIII Governance and Management Arrangements

150. **Roles and responsibilities of the project's governance mechanism:** The project will be implemented following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement<sup>120</sup> between UNDP and the Government of Sri Lanka, and the Country Programme Document agreed with Government<sup>121</sup>.

151. The **Implementing Partner** for this project is the Ministry of Environment and Wildlife Resources (MoEWR). The Implementing Partner is responsible and accountable for managing the project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The Implementing Partner is responsible for:

- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

152. The IUCN Sri Lanka will be appointed as a Responsible Party to provide project implementation support as agreed in the GEF OFP endorsement letter **and deliver technical outputs and project activities, identified in the Total Budget and Work Plan**<sup>122</sup>. Project implementation support will be carried out under the overall supervision of a **Project Director (PD)** appointed by the **Executive**, with the agreement of the **Project Board**. Implementation support will be coordinated through a **Project Management Unit (PMU)** that will be field based and hired by IUCN. GEF project funds will be transferred to IUCN Sri Lanka for the use by the PMU, based on the Annual Work Plan (AWP). IUCN Sri Lanka will be responsible for preparation of required financial and narrative reports as required in Responsible Party Agreement. MoEWR may implement direct contracts/subcontracting arrangements with consultants, contractors and other **Responsible Parties**.

153. The **Project Board** will be chaired by the **Executive**. The Project Board (also called Project Steering Committee) is responsible for making, by consensus, management decisions when guidance is required by the Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions, and addressing any project level grievances. In order to ensure UNDP's ultimate accountability, Project Board decisions will be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager. The Project Board plays a critical role in project monitoring and evaluations by providing quality assurance and using evaluations for performance improvement, accountability, and learning. It ensures that required resources are committed, arbitrates on any conflicts within the project, and negotiates solutions in case of any problems with external bodies. The Project Board also approves the appointment and responsibilities of the Project Director and the Project Manager, and any delegation of its Project Assurance responsibilities.

154. Terms of Reference for the **Project Board** are given in **Annex D**; specific responsibilities include

- Provide overall guidance and direction to the Project, ensuring it remains within any specified constraints;
- Address Project issues as raised by the project manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Review project progress, and provide direction and recommendations to ensure that the agreed results are delivered satisfactorily, employing adaptive management when appropriate

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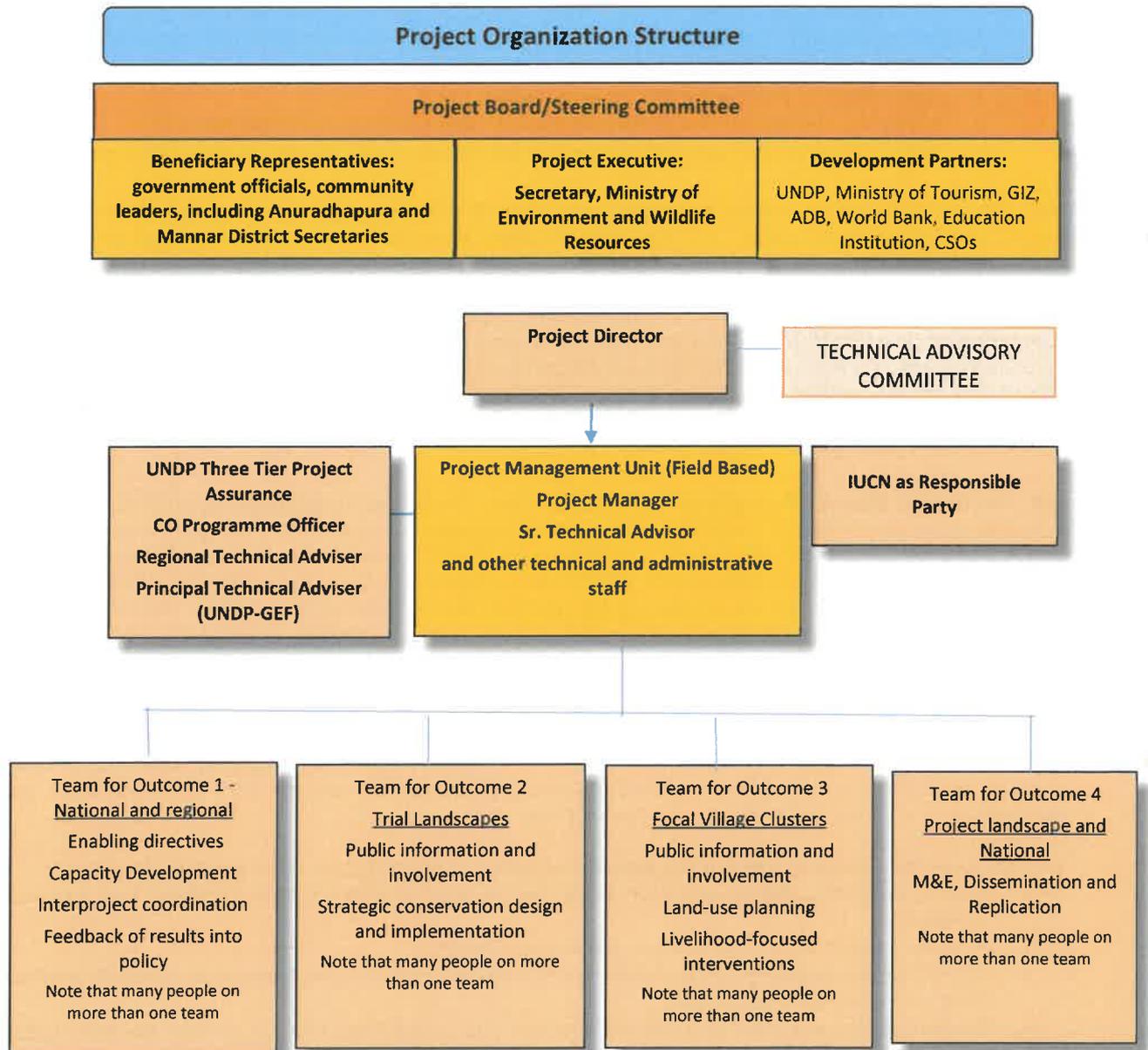
<sup>120</sup> [http://www.lk.undp.org/content/dam/srilanka/docs/general/UNDP%20SL%202%20Standard\\_Basic\\_Assistance\\_Agreement.pdf](http://www.lk.undp.org/content/dam/srilanka/docs/general/UNDP%20SL%202%20Standard_Basic_Assistance_Agreement.pdf)  
page 34

<sup>121</sup> <https://undocs.org/DP/DCP/LKA/3>

<sup>122</sup> [http://www.thegef.org/sites/default/files/council-meeting-documents/EN\\_GEF.C.52.Inf\\_06\\_Guidelines\\_on\\_the\\_Project\\_and\\_Program\\_Cycle\\_Policy.pdf](http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.52.Inf_06_Guidelines_on_the_Project_and_Program_Cycle_Policy.pdf)

- Appraise the annual Project Implementation Report (PIR), including the quality assessment rating report, and make recommendations for the annual workplans
- Provide *ad hoc* direction and advice for exceptional situations beyond the control of the Project Manager
- Assess and approve project changes through appropriate revisions if and when required.

155. The Project Organization structure is as follows:



156. The Project Board (also called Project Steering Committee) will consist of representatives of the key stakeholder agencies and entities and will meet at least twice a year to provide guidance, monitor progress and approve finances for AWP and revisions. The lead members are listed in the following

paragraphs. The Additional Secretary, Environment Projects and Education and Training, Ministry of Environment and Wildlife Resources will represent the interests of the GEF Focal Point, and The National Planning Department and the External Resources Department will also be represented. The wider membership of the Project Board will be settled before Inception. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

In case consensus cannot be reached within the Board, the UNDP Resident Representative (or their designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

157. Specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager;
- Provide guidance on new project risks, and agree on possible mitigation and management actions to address specific risks;
- Agree on project manager's tolerances as required, within the parameters set by UNDP-GEF, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded;
- Advise on major and minor amendments to the project within the parameters set by UNDP-GEF;
- Ensure coordination between various donor and government-funded projects and programmes;
- Ensure coordination with various government agencies and their participation in project activities;
- Track and monitor co-financing for this project;
- Review the project progress, assess performance, and appraise the Annual Work Plan for the following year;
- Appraise the annual project implementation report, including the quality assessment rating report;
- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project;
- Review combined delivery reports prior to certification by the implementing partner;
- Provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Address project-level grievances;
- Approve the project Inception Report, Mid-term Review and Terminal Evaluation reports and corresponding management responses;
- Review the final project report package during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

The composition of the Project Board must include the following roles:

158. Project **Executive**, who represents ownership of the project and chairs the Project Board will be the Secretary, Ministry of Environment and Wildlife Resources. The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Development Partner(s) (see below). The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive will ensure that the Project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

159. Specific Responsibilities of the Executive: (as part of the above responsibilities for the Project Board) include:

- Ensure that there is a coherent Project organization structure and a logical set of plans;
- Set tolerances in the AWP and other plans as required, for the Project Manager;
- Monitor and control the progress of the project at a strategic level;

- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about Project progress;
- Organize and chair Project Board meetings.

160. **Beneficiary Representative(s)** is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Beneficiary Representative for this Project is a small but representative group of government officials and community leaders from the three Trial Landscapes, including the District Secretaries of Anuradhapura and Mannar Districts. Its primary function within the Board is to ensure the realization of Project results from the perspective of Project beneficiaries. The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Beneficiary role monitors progress against targets and quality criteria. This role, particularly in this Project, requires more than one person to cover all the beneficiary interests, but for the sake of effectiveness, the role will not be split between too many people.

161. Specific Responsibilities of the Beneficiary Representative (as part of the above responsibilities for the Project Board) include:

- Prioritize and present beneficiaries' opinions on Project Board decisions
- Ensure that beneficiaries' opinions and needs are presented accurately, completely and unambiguously;
- Monitor the implementation of activities at all stages to assess whether they will lead to meeting the beneficiary's needs within the scope of the Project;
- Evaluate impact of potential changes from the beneficiaries' point of view;
- Ensure that risks to the beneficiaries are monitored adequately.

162. The **Development Partner(s)** is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Development Partner(s) is/are:

1. Ministry of Tourism
2. UNDP
3. Land use Policy Planning Department (LUPPD);
4. Marine Environment Protection Authority (MEPA)
5. Education Institutions: Rajarata University; Sabaragamuwa University; Colombo University; Jaffna University and National Institute of Education;
6. Vocational training institutes: World University Services Canada; Vocational Training Institute Mannar and Anuradhapura;
7. Biodiversity Sri Lanka;
8. National CSOs: Wildlife and Nature Protection Society (WNPS); Environmental Foundation Limited (EFL); Center for Environmental Justice (CEJ); Public Interest Law Foundation (PILF); Women's Bureau;
9. Palmyrah Development Board (PBD)/Ministry of Traditional Industries and Small Enterprise Development;
10. GIZ
11. ADB
12. World Bank

163. **Responsible Parties for Implementation:** The Responsible Parties are project partners in receipt of project funds through the PMU for implementation of their assigned project activities. Thus, they are, accountable for implementing and reporting on project activities as per approved work plans and budgets. To the extent possible and relevant, the approach of the project is to decentralize implementation of the project activities to the stakeholders at the regional and local levels, so as to build ownership of project activities and project implementation capacity at these levels in keeping with the national policy objective to increasingly decentralize governance of development programs. Accordingly, the project is designed to be implemented by the following:

IUCN Sri Lanka to provide overall implementation support, and likely also include the North Central and Northern Provincial Councils to deliver government agriculture, fisheries and tourism related mainstreaming activities and Biodiversity Sri Lanka as a private sector platform for mainstreaming and policy advocacy.

The above-mentioned organizations will implement the project activities assigned to them with technical support from, or in collaboration with other agencies, depending on the nature of the activities and requisite expertise.

164. The **Technical Advisory Committee** convened during Project design will meet quarterly in Year 1 and 2 and bi annually in year 3 and 4 to give technical guidance to the Project. The PMU will be responsible for submitting quarterly reports to the TAC for review. The TAC will be chaired by the PD with support from the PM and membership will consist of representatives from government ministries and other agencies, UNDP, research and educational organizations, NGOs, technical experts and other relevant stakeholders. The Project Board will review and endorse membership at the time of Inception. Technical experts may be coopted from time to time to discuss specific issues. Terms of Reference for the TAC are included in **Annex D**.

165. As a representative of the Government and the Implementing Partner, the **Project Director (PD)** will take responsibility to ensure the efficient and effective implementation of GEF funds according to agreed workplans. The PD will be accountable to the MMDE and UNDP for the achievement of Project results, and will report to the Chair of the Project Board with delegated responsibility for overall supervision and quality assurance. As this Project will be field-based, the Project Director will liaise with the District Secretaries and Provincial Chief Secretaries to ensure effective field level implementation and transfer of funds to national and sub-national government entities. The Project Director will chair the Technical Advisory Committee (see below). The PD will be financed through co-financing, and his or her appointment will be made by the Secretary, MMDE in coordination with UNDP CO. Terms of Reference are given in Annex D.

166. The **Project Manager (PM)** has the authority and the responsibility to run the Project for day-to-day management and decision making, on behalf of the Project Board within the constraints laid down by the Board. The implementing partner appoints the Project Manager, who must be different from the Implementing Partner's representative in the Project Board. The position will be funded by the GEF grant. The Project Manager's primary responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. He or she will report to and support the Project Director (PD), who holds overall responsibility for Project results (see above). The Project Manager will inform the Project Board and the Project Assurance roles of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted. The PD and PM, with the intervention of the Project Board if required, will establish uncomplicated and effective administrative arrangements to ensure that Project funds flow smoothly to the Field Based PMU and that Project activities are never held up by bureaucracy. The Project Manager will remain on contract until the Terminal Evaluation report and the corresponding management response have been finalized and the required tasks for operational closure and transfer of assets are fully completed. Full Terms of Reference are given in Annex D.

167. The **Senior Technical Advisor (STA)** will be responsible for providing overall technical advice and management support to the entire Project. He or she will participate in all aspects of the project, provide technical guidance to the other PMU staff and consultants, represent the Project in technical discussions with government agencies and community organizations, take a lead role in commissioning of biophysical and socio-economic research under Outputs 2.3 and 3.3, the oversight of monitoring and dissemination of knowledge under Outputs 4.1, 4.2, 4.3, 4.4 and 4.5, and tracking progress under the cross-cutting Gender Action Plan (Output 4.2) and the monitoring and mitigation of social and environmental risk (also under Output 4.2). It has been decided to assign the responsibility of monitoring gender, social and environmental safeguarding to the full time STA rather than employing additional Project staff solely to carry out these tasks (see Section V and Annex D).

168. **Project Assurance:** UNDP provides a three – tier supervision, oversight and quality assurance role – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance is a totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the GEF Agency fee.

169. The **Project Management Unit (PMU)** will be based in or near the District Secretariat, Mannar, within easy reach of the Project's three Trial Landscapes. Close collaboration with the DS on a day to day basis will enhance the Project's impacts through on-the-job learning. When in Arunadhapura PMU and other Project staff will use office space made available as a PMU outpost in the Arunadhapura DS. The PMU will manage project contracts and finances and will provide day to day logistic and technical support for implementation of project activities. Apart from the PD, the PMU staff will be hired either on IUCN or government contracts. Responsible partners, and other *ad hoc* partners will be selected based on the AWP at Inception, and contracts will be designed and managed by the PMU.

170. The following staff will be assigned to the PMU (see also Section V, Annex C and Annex D):

- Project Manager (Head of PMU for operational purposes working closely with the Colombo based Project Director (PD))
- Finance and Procurement Officer (FPO) part time
- Senior Technical Adviser (STA)
- Learning and Communications Officer (ICO)
- *Three* Community-based Conservation Experts who will be out-posted, one to each of the three Trial Landscapes (Upper, Middle and Lower Malwathu)

Project Assistant

171. **Governance role for project target groups.**

Special attention has been paid during Project design to ensure a highly participatory basis to conservation design, land-use planning and livelihood-based interventions with benefits for both people and biodiversity conservation. The Three Community-based Conservation Experts will be responsible for establishing sound and effective mechanisms to include representation of target group opinions and ideas into planning of project interventions and decisions on partnerships (see Sections 3.2 and 4.2).

## IX Financial Planning and Management

173. The total cost of the project is USD 32,598,930. This is financed through a GEF grant of USD 3,346,708, and USD 29,252,222 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and any cash co-financing transferred to UNDP bank account only. This project does not envisage cash co-financing through UNDP.

174. Parallel co-financing: The actual realization of project co-financing will be monitored during the *mid-term review* and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
Ministry of Mahaweli Development and Environment: Climate Resilient Integrated Water Management Project	Grant	USD 3 million	Outputs 2.2 and 2.3 Water resources planning in the Malwathu river basin and mainstreaming biodiversity considerations into irrigation and agriculture development.	Project influence may be limited unless cross-sectoral involvement is increased	Recruiting highly qualified project staff and making a focus on interaction with other projects and programmes under Output 1.3
Ministry of Mahaweli Development and Environment: Ecosystem Management and Conservation Project (ESCAMP)	Grant	USD 3.2 million	Outputs 2.2, 2.3 and 3.5 Coordinated effort to address human elephant conflict in the target districts and investments in landscape level tourism-associated livelihoods	Project outcomes may involve resettlement or displacement	See Annex E for full details of how this risk is going to be addressed
Ministry of Fisheries: Northern Province Sustainable Fisheries Development Project	Grant	USD 7.9 million	Outputs 2.3 and 3.5 Mainstreaming in to fishery sector Fishery infrastructure and landing sites development, support to fishery organizations to develop markets and related enterprises as a support to livelihoods in TL 3	Potential difficulties in establishing an effective forum for exchange of views and approaches	Will address this proactively under Output 1.3 and through collaboration on training under CADEC (Output 1.2)
Ministry of Agriculture: Natural Resources Management Centre	Grant	USD 380,000	Outputs 2.2, 2.3 and 3.4 Guidelines for agriculture, training and mainstreaming biodiversity-friendly agriculture into Provincial Agriculture Department	Potential delays in establishing effective interactions and getting biodiversity considerations included at the fundamental level required	Patient negotiations, beginning under Output 1.3
Ministry Environment and Wildlife Resources: Forest Department	Grant	USD 1 million	Outputs 1.3, 1.4 and 4.1 Coordination meetings at national and regional/provincial levels, effectively coordinating between projects implementing environmental projects and establishing a monitoring protocol for post-project impact assessment	This is a direct contribution to the Project outputs and the only risk is that it is slow to be delivered	High standard of project management ensured by good recruitment and ultimate oversight and quality assurance by UNDP

Ministry of Tourism and Wildlife: Sri Lanka Tourism Development Authority	In-Kind	USD 4.7 million	Outputs 1.2, 1.3, 2.4 and 3.5 Training for tourism operators, mainstreaming in to tourism development plans especially in the project regions with methodologies and tools for carrying capacities etc, and investments in sustainable tourism promotion	The only risk here is that coordination will fail to make maximum use of the synergies.	High standard of project management ensured by good recruitment and ultimate oversight and quality assurance by UNDP at all three levels (HQ, Regional and Country)
Biodiversity Sri Lanka	In-kind	USD 2 million	Outputs 2.4 and 3.5 Private sector investment in capacities for tourism entrepreneurs to adopt sustainability standards and investment in sustainable tourism in the focal districts	Slight risk that pursuit of short term business interests may result in less than ideal solutions for local residents in terms of their benefits, economic and non-economic, from sustainable tourism	Slow and steady approach under the Project with the support of the Community Conservation Experts at FVC level and the Landscape Design Teams at the Trial Landscape level
GIZ-Deutsche Gesellschaft für Internationale	In-kind	USD 6.7 million	Outputs 1.3, 1.4, 2.3, 2.4 and 3.4 and 3.5 The Project will be implemented in parallel in Wilpattu National Park and its influence Zone providing opportunities for greater collaboration, data sharing, combined impact and lobbying, and investments in sustainable livelihoods	Possible overlap in activities	Avoid through meetings with the (GIZ) project team, who have already requested regular monthly of more frequent meetings with respect to Trial Landscapes 2 and 3
UNDP	In-kind	USD 250,000	Outputs 1.3, 1.5 4.2, 4.3 This cofinance will support field level coordination of agencies and government actors, feedback in to district and provincial development planning process, knowledge product an financial product development through BIOFin Phase 2	Overstretched staff sometimes results in loss of opportunities for maximizing on synergies	UNDP CO will recruit the Project Manager and a Project Officer who will be paid for under the Project and they will work to ensure that these synergies are realized
IUCN	In-kind	USD 100,000	Various parallel projects related to Outcome 3	Pressure of work in individual projects leads to loss of opportunities for collaboration	IUCN have a major role in the Project and it is unlikely that opportunities will be lost. Regular inter-project meetings at the IUCN office in Colombo will be programmed.

175. **Budget Revision and Tolerance:** As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team to ensure accurate reporting to the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

176. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

**Refund to GEF:** Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

**Audit:** The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies.

**Project Closure:** Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>123</sup> All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

177. **Operational completion:** The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. **Operational closure must happen with 3 months of posting the TE report to the UNDP ERC.** The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

178. **Transfer or disposal of assets:** In consultation with the NIM Implementing Partner and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file<sup>124</sup>.

179. **Financial completion:** The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

180. The project will be financially completed **within 6 months of operational closure or after the date of cancellation.** Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

**Project extensions:** The UNDP-GEF Executive Coordinator must approve all project extension requests. Note that all extensions incur costs and the GEF project budget cannot be increased. A single extension may be granted on an exceptional basis and only if the following conditions are met: one extension only for a project for a maximum of six months; the project management costs during the extension period must

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<sup>123</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

<sup>124</sup> See

[https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP\\_POPP\\_DOCUMENT\\_LIBRARY/Public/PPM\\_Project%20Management\\_Closing.docx&action=default](https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default).

remain within the originally approved amount, and any increase in PMC costs will be covered by non-GEF resources; the UNDP Country Office oversight costs during the extension period must be covered by non-GEF resources.

## X Total Budget and Work Plan

<b>Award ID:</b>	000117353	<b>Project ID(s):</b>	000114160
<b>Award Title:</b>	Managing Together: ICEAFT		
<b>Business Unit:</b>	LKA10		
<b>Project Title:</b>	Managing together: Integrating community-centered, ecosystem-based approaches into forestry, agriculture and tourism sectors		
<b>PIMS no.</b>	5804		
<b>Implementing Partner (Executing Agency)</b>	Ministry of Environment and Wildlife Resources (MoEWR)		

GEF Component/Atlas Activity	Responsible Party	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
<b>Component 1:</b> An enabling environment to mainstream integrated approaches into natural resource management in production sectors and landscapes	GoSL	62000	GEF	71200	International Consultants	15,000	0	0	0	15,000	1
				71300	Local Consultants	15,750	11,250	6,750	6,750	40,500	2
				71600	Travel	14,000	14,170	8,500	8,500	45,170	3
				75700	Training, W/s and Conf.	12,500	17,350	17,350	18,250	65,450	4
				74200	Audio Visual and Print	8,000	23,000	28,900	20,613	80,513	5
					<b>Total Outcome 1</b>	<b>65,250</b>	<b>65,770</b>	<b>61,500</b>	<b>54,113</b>	<b>246,633</b>	
<b>Component 2:</b> Design of landscape strategies for biodiversity conservation and sustainable livelihoods and upward integration into existing policy	IUCN	62000	GEF	71200	International Consultants	0	25,000	0	0	25,000	6
				71300	Local Consultants	5,350	138,450	1,250	1,250	146,300	7
				72100	Contractual Services	105,250	158,750	24,050	24,050	312,100	8
				71600	Travel	15,350	72,750	5,750	5,750	99,600	9
				75700	Training, W/s and Conf.	44,500	111,500	10,000	10,000	176,000	10
					<b>Total Outcome 2</b>	<b>197,700</b>	<b>562,700</b>	<b>44,800</b>	<b>44,800</b>	<b>850,000</b>	
	IUCN			71200	International Consultants	0	15,000	0	0	15,000	12

<b>Component 3:</b> Participatory land-use planning and livelihood-focused interventions to demonstrate socio-economic benefits of biodiversity conservation	71300	Local Consultants	9,900	100,600	97,000	31,000	238,500	13
	72100	Contractual Services	0	256,600	257,100	149,000	662,700	14
	71600	Travel	0	48,200	56,000	20,000	124,200	15
	75700	Training, W/s and Conf.	0	72,700	45,900	40,000	158,600	16
	74200	Audio Visual and Print	0	39,500	41,500	20,000	101,000	17
		<b>Total Outcome 3</b>	<b>9,900</b>	<b>532,600</b>	<b>497,500</b>	<b>260,000</b>	<b>1,300,000</b>	
<b>Component 4:</b> Monitoring and evaluation, and dissemination of knowledge	71200	International Consultants	0	10,000	0	35,000	45,000	18
	71300	Local Consultants	58,650	82,650	64,650	79,650	285,600	19
	71600	Travel	8,500	17,000	17,000	17,000	59,500	20
	75700	Training, W/s and Conf.	28,000	34,700	48,600	49,308	160,608	21
	74200	Audio Visual and Print	30,000	70,000	70,000	70,000	240,000	22
		<b>Total Outcome 4</b>	<b>125,150</b>	<b>214,350</b>	<b>200,250</b>	<b>250,958</b>	<b>790,708</b>	
<b>Project Management</b>	71300	Local Consultants	39,000	39,000	39,000	42,367	159,367	23
		<b>Total Project Mgt Cost</b>	<b>39,000</b>	<b>39,000</b>	<b>39,000</b>	<b>42,367</b>	<b>159,367</b>	
<b>PROJECT TOTAL</b>			<b>437,000</b>	<b>1,414,420</b>	<b>843,050</b>	<b>652,238</b>	<b>3,346,708</b>	
<b>SUMMARY OF FUNDS</b>			<b>Amount Year 1</b>	<b>Amount Year 2</b>	<b>Amount Year 3</b>	<b>Amount Year 4</b>	<b>Total</b>	
	GEF		437,000	1,414,420	843,050	652,238	3,346,708	
	Co-finance UNDP		50,000	100,000	50,000	50,000	250,000	
	Co-finance IUCN		30,000	30,000	30,000	10,000	100,000	
	Co-finance GIZ		1,700,000	2,000,000	2,000,000	1,000,000	6,700,000	
	Co-finance Biodiversity Sri Lanka		500,000	500,000	500,000	500,000	2,000,000	

Co finance - Government	3,000,000	6,000,000	6,000,000	5,202,222	20,202,222
<b>TOTAL</b>	<b>5,717,000</b>	<b>10,044,420</b>	<b>9,423,050</b>	<b>7,414,460</b>	<b>32,598,930</b>

## BUDGET NOTES

No.	Description
1	Data and Modelling Expert 6 weeks in Year 1 to support to determine quantifiable baselines and indicators leading to improved ecosystem health and services
2	Senior Technical Advisor 3 months/year@ 2,250 USD per month for 3.5 years to support outputs 1.1, 1.3 and 1.4 (=US\$23,625); Training Needs Assessor for 6 months @750 USD per month, for Year 1 (=4,500); Curriculum Developer 9 months @ 750 USD per month for Year 1 (\$6,750); \$5,625 USD for year 1 for additional short-term consultants to support Training Needs Assessment, Curriculum Development and Training Delivery. Total: US\$40,500
3	Local Travel for outputs 1.1 to 1.4 (14,000 USD for Year. 1- 6,000 USD for accommodation, 5 visits to all sites by project officials from Colombo and 5 visits to all project sites by government and other stakeholders and 10,200 km for travel within the project sites, 14,170 USD for Yr 2- 6,000 USD for accommodation, 5 visits to all sites by project officials from Colombo and 5 visits to all project sites by government and other stakeholders and 10,600 km for travel within the project sites , 8,500 USD each for Year 3 and Year 4- 4,500 USD for accommodation, 3 visits to all sites by project officials from Colombo and 3 visits to all project sites by government and other stakeholders and 5,100 km for travel within the project sites for each year)
4	Training, workshops and conferences specially for outputs 1.2; 1.3; and 1.4 (\$12,500 for Year. 1 / \$17,350 for Year. 2/ \$17,350 for Year. 3/ \$18,250 for Year. 4). Cost estimates are based on following unit rate assumptions- Location Colombo- Team meeting half day for 10 Pax 20 USD; full day for 10 Pax 35 USD; workshops in hotels 25 USD per 1 Pax; training programme 20 USD per Pax per day. Location Anuradhapura 15, 35,20 and 20 USD respectively for above mentioned categories. In Mannar 15,30,15 and 10 USD respectively for above mentioned categories.
5	Audio visual and print production costs related to outputs 1.2; 1.3 and 1.4(8,000 USD for Year. 1/23,000 USD for Year. 2/ 28,900 USD for Year. 3/ 12,980 for USD Year. 4). This includes designing and printing project related information for different stakeholder groups; production of video clips in the second and third years of operation for wider circulation on the progress of the initiatives. Further participatory monitoring of the field level activities will be carried out through audio visual recording of important changes in their lives.
6	International Landscape Conservation Expert for 2 months @ 10,000 USD month to support 2.2 and International Ecotourism & Business Biodiversity Development Advisor 0.5 months @ 10,000 USD /month
7	Senior Technical Advisor 3 months/year@ 2,250 USD per month for four years to support outputs 2.2 to 2.5; Learning & Communication Officer 12 months @ 900 USD to support outputs 2.1, 2.4 and 2.5 (4 months in Year 1 and 3 months each in subsequent years). Short term consultants on tourism, agriculture, fisheries, biodiversity, socio-economic, gender integration (4 months each throughout the project period @ 1,500 USD per month with majority occurs in the year 2); Short term consultancies on Sustainable Forest Management, Innovative finance mechanisms for conservation finance; Livelihoods development (@ 1500 USD per Month for 6 months); 21,000 USD for other short term consultancies to be identified within the project period.

8	<p>Conducting relevant awareness programmes for 2.1; Providing the necessary technical and material support needed for the landscape design and a negotiated land use plans for focal village clusters for output 2.5; Conduct estuarine erosion prevention interventions in areas such as Arippu, Achchankulam and Vankalai in Trial Landscape 3 for output 2.5; Conduct Strategic Environment Assessment in the Trial Landscape</p>
9	<p>Local Travel for outputs 2.1 to 2.5 (15,350 USD for Year. 1- 6,000 USD for accommodation, 3 visits to all sites by project officials from Colombo and 3 visits to all project sites by government and other stakeholders and 5,100 km for travel within the project sites, 72,750 USD for Year 2- 30,000 USD for accommodation, 15 visits to all sites by project officials from Colombo and 5 visits to all project sites by government and other stakeholders, 10 visits by project beneficiaries to other areas of the country as learning events and 12,600 km for travel within the project sites, 5,750 USD each for Year 3 and Year 4-1,500 USD for accommodation, 2 visits to all sites by project officials from Colombo and 2 visits to all project sites by government and other stakeholders and 6,200 km for travel within the project sites for each year)</p>
10	<p>Training Workshops and Conferences related to outputs 2.1, 2.2, 2.3, 2.4 and 2.5. Cost estimates are based on following unit rate assumptions- Location Colombo- Team meeting half day for 10 Pax 20 USD; full day for 10 Pax 35 USD; workshops in hotels 25 USD per 1 Pax; training programme 20 USD per Pax per day. Location Anuradhapura 15, 35,20 and 20 USD respectively for above mentioned categories. In Mannar 15,30,15 and 10 USD respectively for above mentioned categories.</p>
11	<p>Audio visual and print production costs related to outputs 2.1, 2.2, 2.3, 2.4 and 2.5. Year 1 and 2- Landscape level planning process related documentaries (3 documentaries @ 5,000 USD per documentary) and involving mass media in the country to promote the concepts and approaches amongst policy makers. Facilitation of mass media journalists representing print and electronic media of all local languages to visit the area (3 visits of 10 journalists in year 1 and 5 visits of 20 journalists in year 2); 10 leaflets and 3 brochures targeting the communities living in and around the trial landscapes and key decision makers of the area including politicians explaining approach of the project.</p>
12	<p>International Ecotourism &amp; Business Biodiversity Development Advisor 1.5 months @ 10,000 USD /month for outputs 3.2 and 3.5</p>
13	<p>Senior Technical Advisor 3 months/year* 2,250 USD per month for four years to support outputs 3.2, 3.4 and 3.5; Learning &amp; Communication Officer 12 months* 900 USD to support 3.5 mostly. Three Community based Conservation Experts for 48 months each @ 1,400 USD to cover the entirety of field implementation (only 900 USD per month for 48 month charged to this outcome); Land use mapping including bio-cultural, heritage sites and spatial features, Ecosystem carrying capacity assessment, Value and market chain identification and development 10 months per consultant @ 2,000 USD per month (60,000 USD); Consultancies for baseline information to be identified after the project inception 14,400 USD.</p>
14	<p>Conducting activities related to the introduction of the necessary livelihood modifications and capacity building focused on the target sectors for output 3.4; provisioning of technical and material support for livelihood modifications required as per land use plans in the fields of agriculture, fisheries, tourism, forestry and wildlife conservation for output 3.5</p>
15	<p>Local Travel for outputs 3.1 to 3.5 (48,200 USD-Year 2- 27,000 USD for accommodation (Prevailing Daily Subsistence Allowance for Mannar is 68 USD / day; Anuradhapura 108 USD / day and Colombo 223 USD /day ), 5 visits to all sites by project officials from Colombo and 5 visits to all project sites by government and other stakeholders and 40,000 km for travel within the project sites, 56,000 USD Year 3- 27,000 USD for accommodation, 5 visits to all sites by project officials from Colombo and 5 visits to all project sites by government and other stakeholders and 60,000 km for travel within the project sites, 20,000 USD for Year 4- 12,000 USD for accommodation, 2 visits to all sites by project officials from Colombo and 2 visits to all project sites by government and other stakeholders and 15,600 km for travel within the project sites 4)</p>
16	<p>Training Workshops and Conferences related to outputs 3.1, 3.2, 3.3, 3.4 and 3.5. Cost estimates are based on following unit rate assumptions- Location Colombo- Team meeting half day for 10 Pax 20 USD; full day for 10 Pax 35 USD; workshops in hotels 25 USD per 1 Pax; training programme</p>

	20 USD per Pax per day. Location Anuradhapura 15, 35,20 and 20 USD respectively for above mentioned categories. In Mannar 15,30,15 and 10 USD respectively for above mentioned categories.
17	Audio visual and print production costs related to outputs 3.1, 3.2, 3.3, 3.4 and 3.5. in Year 2 and 3 - Producing awareness and education materials targeting the government officials on different innovative techniques used in the project especially video clips (4 clips @ 3,000 USD), technical guides (5 guides @ 3,000 USD) and multi media presentations in local languages (Translation costs 5,000). There will be two different sets of materials targeting the policy makers / senior decision makers of the relevant institutions and technical level users. These materials will be used outside the trial landscapes as well as advocacy materials. Year 4-
18	Mid-term evaluator for @ 10,000 USD in Yr. 2; Data and Modelling Expert 6 weeks in year 4 to support landscape level planning @ 10,000 USD per month and Terminal Evaluator @ 20,000 USD
19	Senior Technical Advisor 4 months/year @ 2,250 USD per month for four years (\$36,000) and necessary travel costs; Learning and Communication Officer 28 months spread over 4 years @ 900 USD per month (\$25,200) to contribute to the work under outputs 4.3, 4.4 and 4.5 and necessary travel costs; Impact monitoring specialist- 18 months spread over 4 years @ 1,000 USD per month (\$18,000) to support work under 4.1; Communications Strategy and product development – 16 months spread over 4 years @ 1,500 USD per month (\$24,000);10,400 USD for year 1 for the mid term evaluation- local consultant and 15,000 USD for year 4- Final evaluation- Local consultant; Part time Technical Specialist in Safeguards and Monitoring (750 USD*8 months per year for 4 years) supporting the Project Manager and the Senior Technical Advisor in monitoring, safeguards, coordination with the government and gender particularly for activities under outputs 4.1; 4.3. ; Three Community based Conservation Experts for 48 months each @ 1,400 USD to support project implementation in Trial Landscapes (only 500 USD per month for 48 month charged under this line); Part-time Finance and Procurement Officer for 48 months @ 50% time and cost to the project (1500*48*0.5 = 36,000);
20	Local Travel for outputs 4.1 to 4.5 (8,500 USD for Year 1- 1,500 USD for accommodation, 3 visits to all sites by project officials from Colombo and 2 visits to all project sites by government and other stakeholders and 12,600 km for travel within the project sites, 17,000 USD each for Year 2, Year3 and Year 4 6,000 USD for accommodation, 5 visits to all sites by project officials from Colombo and 2 visits to all project sites by government and other stakeholders and 17,000 km for travel within the project sites for each year including the mid-term evaluation and final evaluation related travel and accommodation)
21	Training, workshops and seminars related to activities coming under outputs 4.3 and 4.4. Cost estimates are based on following unit rate assumptions- Location Colombo- Team meeting half day for 10 Pax 20 USD; full day for 10 Pax 35 USD; workshops in hotels 25 USD per 1 Pax; training programme 20 USD per Pax per day. Location Anuradhapura 15, 35,20 and 20 USD respectively for above mentioned categories. In Mannar 15,30,15 and 10 USD respectively for above mentioned categories.
22	Audio visual and print production costs related to outputs 4.2 ; 4.3 and especially 4.5. Year 1- production of 6 video clips on baseline situation of the area and relevant approaches of the project; translating the video clips into local languages; Developing 1 leaflet and 3 brochures on the project approach as introductory materials to the stakeholders in local languages and in English. Producing video clips with the Year 2, 3 and 4 - Producing video clips (5 clips of each site for three sites @2,500 USD; 10,000 USD for translating / sub titling the clips to other local languages and English to share the lessons learnt, Developing 5 brochures in local languages and 3 booklets in English capturing the progress of the project approach targeting wider sharing of the results among stakeholders and general public; facilitating 5 media crews representing mass media. Video clips and media productions will be used as promotional materials in the mobile awareness unit.

23	Project Manager responsible for overall management of the project (2,250 USD*12 months per year for 4 years); and a part time Project Officer (@750 USD for 4 months per year for 4 years plus 3 months full time during the last year of the project operation) supporting the Project Manager and the Senior Technical Advisor in monitoring, safeguards, coordination with the government and gender particularly for outputs. Full time Project Assistant @ 500 USD / month for 48 months (24,000 USD)
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## XI Legal Context

181. This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Sri Lanka and UNDP, signed on 20<sup>th</sup> March 1990. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

182. This project will be implemented by the Ministry of Environment and Wildlife Resources ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

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## XII Risk Management

183. Consistent with the Article III of the SBAA [*for the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

184. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

185. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

186. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to

cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.

187. In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:

- i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
- ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
- iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
- iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
- v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

188. The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

189. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

190. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

191. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

192. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

193. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).

194. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

195. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

196. Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

197. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

198. Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

199. *Note:* The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

200. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

201. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

202. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, mutatis mutandis, in all sub-contracts or sub-agreements entered into further to this Project Document.

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### **XIII Annexes**

- A. Multi Year Workplan *(attached to this ProDoc for signature)*
- B. Core Indicators
- C. Overview of Technical Consultancies and Subcontracts *(attached to this ProDoc for signature)*
- D. Terms of Reference
- E. UNDP Social and Environmental Screening Procedure and Action Plan *(attached to this ProDoc for signature)*
- F. Stakeholder Engagement Plan
  - F1 Stakeholders
  - F2 Stakeholders specifically related to Gender
  - F3. Methods of initial engagement of communities
  - F4 Partner Projects and Programmes
- G. Gender Analysis and Action Plan
- H. UNDP Risk Log *(attached to this ProDoc for signature)*
- I. Results of the Capacity Assessment of the Project Implementing Partner (PCAT)
- J. Additional Agreements, Including Letters from Co-financiers
  - J1. Additional Agreements – Co-financing letters
  - J3. Additional Agreements – ESMF
- K. Theory of Change Diagrams
  - K1 ToC explanatory diagram
  - K2 ToC Overall
  - K3 ToC Summary of Overall
  - K4 ToC Agriculture
  - K5 ToC Marine Fisheries
  - K6 ToC Tourism
  - K7 ToC Forestry and Wildlife
  - K8 ToC Mind Map
- L. Rationale and Process of Selection of the Project Landscape and Trial Landscapes
- M. National Policy Setting for the Project
  - M1 Institutions
  - M2 Civil Society Organizations
  - M3 Environmental Policy
  - M4 International Conventions
  - M5 Strategic Environmental Assessment
  - M6 Environmentally Sensitive Areas
- N. Tourism in the Project Landscape and Potential Interventions
- O. Relevant Laws
- P. Agriculture in the Project Landscape and Potential Interventions
- Q. Existing and Proposed Protected Areas in the Project Landscape
- R. Profile of the Project Landscape and each of Three Trial Landscapes
- S. Focal Village Clusters in the Trial Landscapes
- T. Forest Cover in the Project Landscape and Potential Interventions

- U. Endemic Fauna of the Trial Landscapes with Globally Threatened Status
- V. Administrative Structure of Sri Lankan government
- W. Green House Gases Calculations
- X. Human Wildlife Conflict and Wildlife Crime in the Project Landscape
- Y. Scorecards for Sustainable Tourism Indicator
- Z. Scorecard
  - Z1. Scorecard for Landscape Performance Indicator
  - Z2. UNDP Capacity Development Scorecard
- AA. Project Map and geospatial coordinates of the project area (*attached to this ProDoc for signature*)
- AB. Monitoring Plan (*attached to this ProDoc for signature*)



Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4				
			Q1	Q2	Q3	Q4													
Output 1.4. Recommendations and proposals for changes in policy, institutions or practice that will be required for replication of the landscape conservation design approach to mainstreaming nationally.	Gradual development of policy recommendations to facilitate scaling up of Project-led approaches nationally, based on demonstrations related to agriculture, fisheries, forestry and tourism in the field	UNDP PMU MMDE				X	X	X	X	X	X	X	X	X	X	X	X		
	Guidelines on mainstreaming developed, initially using the experience of GEF 05 ESA Project and field tested under Output 2.4/ 3.4 to be developed into recommendations	UNDP PMU MMDE																	
	Recommendations covering range of relationships between biodiversity and NRM, including for example, the trade-offs between "land sharing" and "land sparing" (see Prodoc Sections 1.4 and 4.2) for biodiversity conservation and livelihoods in the context of the Project.	UNDP PMU MMDE										X	X	X	X	X	X		
	Preparing policy prescriptions and tools to support land-use zoning approach and SEA (strategic environmental assessments) tested in the ESA Project to be improved for adoption in 2.2 and 2.3	UNDP PMU MMDE		X	X	X													
	Specific policy recommendations regarding how to address biodiversity concerns related to international transboundary issues, climate change mitigation at landscape scale, and assessment of biodiversity impacts of irrigation projects	UNDP PMU MMDE											X	X	X	X	X		
Outcome 2: Natural resource management, tourism and land use are guided by a strategic design for biodiversity conservation and sustainable livelihoods across multiple jurisdictions in three Trial Landscapes in the Northern and North Central Provinces																			

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4			
			Q1	Q2	Q3	Q4												
Output 2.1. Public information and involvement programme designed and implemented across all Districts and Divisional Secretariats represented in the Trial Landscapes	Design of the public information and involvement programme that will facilitate the preparation and implementation of the landscape strategies for the three TLs	UNDP, PMU, MMDE	X															
	Public meetings and presentations held in districts, divisions and focal village clusters	PMU, UNDP, MMDE		X		X		X		X		X		X				
	Links to the programme under Focal Village Clusters (Output 3.1) which will begin after the TL programme	PMU, UNDP, MMDE				X		X		X		X		X		X		
	Preparation of publicity materials - print and film	PMU, UNDP, MMDE		X		X												
	Competitions and other forms of engagement	PMU		X		X		X		X		X		X				
	Guided visits to protected areas	PMU, MMDE				X		X		X		X		X				
	Mobile Education Unit touring the three TLs and District centres with films, presentations, and theatre targeted at the landscape level planning	PMU, UNDP, MMDE				X		X		X		X		X		X		X
	Development of Mannar Project office as a centre of excellence for information on Biodiversity (including Climate Change)	PMU, UNDP, MMDE				X		X		X		X		X				
	Establishment of working arrangements with local government following up on Directives under Output 1.1	PMU, MMDE		X														
	Finalize the trans-jurisdictional and multi-sectoral government interlocutors for the landscape	PMU, MMDE		X		X												
Hold pilot meetings to test exactly how the Project will	PMU, MMDE		X															

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4			
			Q1	Q2	Q3	Q4												
Output 2.3 Strategic conservation designs for each Trial Landscape for incorporation into government decision making and local development plans	work with communities and government together																	
	Determine capacity needs in terms of GIS for example	UNDP PMU MMDE	X															
	Determination of the scope of each strategic design and preparation of full outlines	PMU MMDE	X															
	Decisions on core planning teams for each TL - and the links between the teams for TL2 and TL3 and engagement with other donor funded projects operating in the TLs	PMU MMDE	X															
	Agreement on the process for development of each TL strategic design, and assignments allocated, with the people responsible, and time table	PMU MMDE		X														
	Formal agreements with District and lower level governments negotiated, for adoption of the final strategic designs in local Development Plans and decision making processes	UNDP PMU MMDE		X														
	Data needs determined (See Section 4.2)	PMU,MMDE	X															
	Necessary research and analysis done	PMU,MMDE		X														
	User-friendly GIS maps with advanced tools to facilitate landscape scale planning, and paper maps for easy use in remote villages	PMU, UNDP, MMDE			X													
	Current and potential threats and constraints agreed upon by consensus	PMU, UNDP, MMDE		X		X												
Analysis of consequences of current policies and their implementation and	PMU, UNDP, MMDE			X	X													

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4				
			Q1	Q2	Q3	Q4													
	recommendations for changes (alternatives) that could be implemented locally																		
	Definition of management actions required by responsible agencies and groups to implement recommended alternatives	PMU, UNDP, MMDE				X													
	Identification of resource requirements: e.g. funds and funding sources, skilled personnel, equipment and facilities, training, public participation in management, information	PMU, UNDP, MMDE					X												
	Development of mechanisms and timetable for provision of resources	PMU, UNDP, MMDE								X									
	Preparation of a "living document" subject to periodic revisions,	PMU, UNDP, MMDE								X									
	Review period, before joint agreement / ratification	PMU, UNDP, MMDE								X									
	Review of existing governmental and community procedures (at both national and local levels) that regulate impacts on biodiversity, of tourism, agriculture, fisheries and forest management	PMU, UNDP, MMDE								X									
	Review of Technical Guidelines developed by GEF 05 ESA Project and improved/updated based on <i>status quo</i> and the TL strategic designs, for incorporation into local, and eventually national, regulations and normal practice: a) land use planning. b) tourism.	PMU, UNDP, MMDE								X									

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4			
			Q1	Q2	Q3	Q4												
Output 2.5 Technical and material support for immediate actions required under the agreed strategic designs	c) infrastructure development, d) agriculture and fisheries e) forestry, f) protected area management	PMU, UNDP, MMDE			X													
	Consultation and production of guidance on certification of sustainability in tourism, agriculture, fisheries and forestry.		X	X														
	Identification of, and consensus on, the actions to be supported under the Project and those to be pursued by other organizations	PMU, UNDP, MMDE		X														
	Integration of strategic design (Output 2.3) and mainstreaming guidelines (Output 2.4) into District (and lower level) development plans, routine decision making, local regulations, and proposed actions under donor-supported development projects and programmes.	PMU, UNDP, MMDE					X											
	Interventions required under the strategies on land allocation for conservation, such as elephant corridors, and Environmentally Sensitive Areas	PMU, UNDP, MMDE								X	X	X	X	X	X	X	X	X

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4					
			Q1	Q2	Q3	Q4														
	Achievement of reforestation targets whether through natural regeneration or planting	PMU, UNDP, MMDE				X			X	X				X	X				X	X
	Monitoring and regulation of tourist operations and tourist development proposals	PMU, UNDP, MMDE																	X	X
	Tourism green certification system tested	PMU, UNDP, MMDE							X	X				X	X					
	Monitoring and regulation of current and proposed practices (such as described in proposals for new developments) in fisheries, water management and agriculture	PMU, UNDP, MMDE							X	X				X	X				X	X
	Direct support to other donor-funded projects in the Project landscape to incorporate the agreed mainstreaming guidelines into those projects' work plans and <i>modif operandi</i> .	PMU, UNDP, MMDE																		
	Outcome 3: Biodiversity conservation priorities shape sustainable livelihoods in natural resource management and tourism in six Focal Village Clusters in three Trial Landscapes in the Northern and North Central Provinces																			
Output 3.1. Public information and involvement programme designed and implemented in the focal village clusters	Focal village clusters identified through public involvement in 1.3 and 2.1	PMU MMDE		X																
	Design of the public information and involvement programme focused on facilitation of the preparation and implementation of the six Focal Village Cluster Plans	PMU MMDE				X														
	Close links with the wider Trial Landscape programmes under Output 2.1 through Public meetings and presentations held	PMU				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4							
			Q1	Q2	Q3	Q4																
	School based activities that aim to (a) involve and inspire young people and (b) influence parents through their children	PMU				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Ecology clubs, nature watching clubs (both inside and outside school settings), guided visits to protected areas. (See Prodoc para 73)	PMU					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Competitions and other forms of engagement	PMU						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Mobile Education Unit (see above under Output 2.1) visits to the six Focal Village Clusters with films, presentations, photographs etc improving the effectiveness of inter community lessons sharing for community level planning (in collaboration with other similar projects operating in the area)	PMU, UNDP, MMDE					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 3.2. Participatory mechanisms to bring together community and government stakeholders in a landscape conservation design approach to local land use planning	Wide consultation on best practice, followed by adoption of a plan and schedule for working arrangements that include the participation of Grama Niladharis and other local government officials, livelihood focused CBOs, women's groups, and youth organizations, and individual citizens and other interest groups both local and visiting.	PMU, MMDE									X											
	Mapping of vulnerabilities and risks to inform the design, including poverty rates, female headed households and nutrition	PMU, MMDE	X	X	X	X																

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4			
			Q1	Q2	Q3	Q4												
	standards and disaster exposure																	
	Formal meetings and workshops held to test the mechanisms for application under Output 3.4	PMU, MMDE					X				X							
	Informal, long term relationships to build up confidence, understanding and ownership of Project aims.	PMU, MMDE					X				X						X	
	Scoping of private sector and other development actors in the focal villages and TLs that have longer term stake in the area	PMU, MMDE	X				X				X							
	Collation and assessment of existing information and assessment of gaps	PMU, UNDP, MMDE	X															
	Preparation of multidisciplinary research and monitoring plan covering biophysical and socio-economic data requirements	PMU, UNDP, MMDE	X															
	Engagement with partners including international research organizations	PMU, UNDP, MMDE		X			X				X					X		X
	Implementation of the research and monitoring plans	PMU, UNDP, MMDE		X			X				X					X		X
	Determination of the scope of each Focal Village Cluster Plan and preparation of full outlines	PMU, UNDP, MMDE			X													
Output 3.4. Six village cluster land-use plans that provide opportunities for novel																		

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4				
			Q1	Q2	Q3	Q4													
or modified livelihoods linked with biodiversity conservation	Decisions on core planning teams for each FVC, including links with the respective TL teams preparing the overarching Landscape strategic designs, and engagement with other donor funded projects operating in the FVCs	PMU, UNDP, MMDE			X														
	Agreement on the process for development of each FVC land-use plan, and assignments allocated, with the people responsible, and time table	PMU MMDE			X														
	Formal agreements with GND, DSD and local Land Use Planning Department Units negotiated, for adoption and/or acceptance of the completed plans in local government plans and and routine decision making	PMU, UNDP, MMDE			X														
	User-friendly GIS maps with advanced tools to facilitate landscape scale planning, and paper maps for easy use	PMU, MMDE			X														
	Make use of community based three dimensional mapping techniques for visualization of land use options and ecological flow and impacts <sup>125</sup>	PMU, MMDE			X					X				X					

<sup>125</sup> <http://pubs.iied.org/pdfs/9312IIED.pdf#page=72> (Chapter 11)  
<http://wwf.panda.org/homepage.cfm?10641/conservation-goes-3d>

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4			
			Q1	Q2	Q3	Q4												
	Current and potential threats and constraints agreed upon by consensus	PMU, MMDE				X												
	Analysis of consequences of current land use practice and the drivers of them, with reference to Project ThOCh analyses (Annex K)	PMU, MMDE				X												
	Recommendations for alternative land use that could be implemented locally, and definition of actions required by individuals, community groups, and responsible agencies in order to implement recommended alternatives	PMU, MMDE				X	X			X	X				X	XX		
	Preparation of a "living document" subject to periodic revisions.	PMU, MMDE								X								
	Review period, before joint agreement / ratification	PMU, MMDE								X								
	Identification of resource requirements: e.g. funds and funding sources, skilled personnel, equipment and facilities, training, public participation in management, information for livelihood-focused interventions	PMU, UNDP, MMDE								X	X							
	Development of mechanisms, engagement of partners, and a timetable for provision of resources, implementation of the plans, and establishment of working arrangements with potential investors in livelihood-focused interventions	PMU, UNDP, MMDE								X	X							

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4			
			Q1	Q2	Q3	Q4												
Output 3.5. Technical and material support for livelihood changes under the land-use plans in the fields of tourism and natural resource management	Technical and material support for novel or modified livelihoods in tourism, agriculture, fisheries, forestry and wildlife conservation (not yet defined in detail because that would pre-empt the planning process and its participatory and inclusive nature - see Prodoc 4.1 para 79).	PMU, MMDE					X	X	X	X	X	X	X	X	X	X	X	X
	Facilitation of links with private sector investors, provision of market advice	PMU, UNDP, MMDE				X	X	X	X	X	X	X	X	X	X	X	X	X
	Financial and technical support in selected interventions in areas such as:	PMU, UNDP, MMDE					X	X	X	X	X	X	X	X	X	X	X	X
	+ Payments for Ecosystem Services + Ecological certification for agricultural produce, harvests of wild plants, fisheries, and tourism operations + Premium pricing for traditional varieties of rice + Conservation agreements, grants and co-management arrangements + Contributions towards the capital costs of well-planned mechanisms to avoid crop damage and livestock losses from wild animals (to replace compensation eventually).																	
	Environmental and socio-economic impact assessments for all proposed interventions before approval followed by monitoring during implementation	PMU, UNDP, MMDE				X	X	X	X	X	X	X	X	X	X	X	X	X

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4			
			Q1	Q2	Q3	Q4												
	Vocational training carried out under the Project in support of specific livelihood-focused interventions.	PMU, UNDP, MMDE					X	X	X	X	X	X	X	X	X	X	X	X
	Institutionalization of training locally (see Prodoc para 79)	PMU, MMDE									X	X	X	X	X	X	X	X
Outcome 4 Monitoring and evaluation, and dissemination of project methods and results contributes to wider application of landscape approach to mainstreaming of biodiversity																		
Output 4.1 Monitoring protocols and necessary institutional agreements to assess the impacts of the landscape conservation design and livelihood-focused interventions both during and after the end of the project	Finalization of the Project Results Framework and measurement of the indicator baselines that are still outstanding (Approval at Inception Workshop)	PMU, UNDP, MMDE	X															
	Development of a monitoring plan based on PRF, and allocation of responsibilities through external contracts where necessary	PMU, UNDP, MMDE	X															
	Implementation of the monitoring plan	PMU, UNDP, MMDE		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 4.2 Periodic reviews and evaluations of monitoring data collected during the project	Development of post-project monitoring protocols, necessary training, and agreements from institutions that will execute them	PMU, UNDP, MMDE																
	Annual reviews against the PRF, including for PIR when due	PMU, UNDP, MMDE				X				X								X
	Biannual Technical Advisory Committee/Steering Committee meetings (in Colombo and in Project landscape) with intervening field visits by subgroups of the TAC/SC	PMU, UNDP, MMDE	X				X	X	X	X	X	X	X	X	X	X	X	X
Output 4.3 Publications, films, exhibitions, databases that publicize the methods used and the results of the project interventions	Development of master plan for the dissemination of Project messages and results, engagement in dialogue with stakeholders, and facilitation of replication in other landscapes	PMU, UNDP, MMDE	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4			
			Q1	Q2	Q3	Q4												
	Formation of links with similar projects in other countries followed by exchange of news and experience. For example, a Picture Story and video will be prepared in partnership with UNDP Ecosystems and Biodiversity.	PMU, UNDP, MMDE	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Project website, Project Twitter feeds and Project Facebook pages updated daily	PMU, UNDP, MMDE	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Databases that are made openly available on the Project website	PMU, UNDP, MMDE			X	X	X	X	X	X	X	X	X	X	X	X	X	
	A quarterly Project Newsletter reporting on activities, and addressing, through editorials and specialist articles, substantive related conservation issues each month.	PMU, UNDP, MMDE		X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Publicity materials, for general public, for teachers and undergraduates, NGOs, press releases.	PMU, UNDP, MMDE			X	X	X	X	X	X	X	X	X	X	X	X	X	
	Coordination of the use of Project products such as the guidelines to mainstreaming of biodiversity into natural resource management and tourism produced under Output 2.4 to pursue policy changes and policy implementation changes under Output 1.4.	PMU, UNDP, MMDE								X	X	X	X	X	X	X	X	
Output 4.4 Organized visits by the public and regional government officials to project sites to demonstrate and explain	Overall plan prepared for visits	PMU, UNDP, MMDE	X															
	Plan developed to fund visits from certain categories of people through grants. These might include	PMU, UNDP, MMDE	X															



Output	Indicators *	Responsible Party	Year 1				Year 2				Year 3				Year 4			
			Q1	Q2	Q3	Q4												
	<ul style="list-style-type: none"> <li>the various Chambers of Commerce</li> <li>+ Individual companies and business organizations</li> <li>+ Government officials</li> </ul>																	
	<ul style="list-style-type: none"> <li>The Mobile Education Unit established with private-sector support and public collaboration that will tour the Project landscape will be tasked at intervals to travel to Colombo and other selected cities to set up a Project exhibition and to host Project speakers, in key sites, including University campuses and public parks.</li> </ul>	PMU, UNDP, MMDE					X											X

## Annex E Social and Environmental Screening Procedure (SESP)

### Project Information

Project Information	
1. Project Title	'Managing together - Integrating Community-centered, ecosystem-based approaches into forestry, agriculture and tourism'
2. Project Number	5804
3. Location (Global/Region/Country)	Sri Lanka

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

#### QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

##### *Briefly describe in the space below how the Project mainstreams the human-rights based approach*

Principles and standards derived from international human rights treaties will guide the project in all phases<sup>126</sup>. The Sri Lankan State has an obligation to 'protect, preserve and improve the environment for the benefit of the community' (Article 27 (14) of the Constitution), while communities also have the duty to 'protect nature and conserve its riches' (Article 28 (f)). Human rights obligations include the duty to ensure the level of environmental protection necessary to allow the full exercise of protected rights. Certain human rights, especially access to information, participation in decision-making, and access to justice in environmental matters are essential to good environmental decision-making.

The Project will:

- a) raise the capacity of government duty-bearers to carry out their obligations under current policy to protect the environment (Outcome 1)
- b) work with local government duty bearers to take tangible steps towards improving environmental protection (Outcomes 2,3,)
- c) feed back project results into changes in national policy and practice (Outcomes 1, 4)
- d) ensure access of the general public in their capacity as rights holders to information related to the environment (Outcomes 2,3,4)
- e) work with the general public in their capacity as both rights holders and duty bearers, to take tangible steps towards improving environmental protection (Outcome 3)
- f) maintain a spotlight on incidences in the project areas where women and disabled people are marginalized (Outcomes 2, 3, 4)
- g) keep attention on socio-economic issues such as chronic debt, land-tenure injustices, public health problems in the Trial Landscapes (Outcomes 2, 3, 4)
- h) link with other projects to encourage government to improve enforcement of environmental laws, in particular regarding trawling in the Gulf of Mannar (Outcomes 1, 2, 3)
- i) screen each and every proposed project intervention for potential human rights impacts (Outcomes 3, 4)

##### *Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment*

The project's environmental objectives will be reached only if women in the project areas are more empowered. This is not a matter of a gender side-effect in an environmental conservation project: rather it is a matter of having to address the marginalization of women in the local communities in order for the project

<sup>126</sup> <http://web.unep.org/divisions/delic/human-rights-and-environment>

to achieve success. Livelihood-focused interventions and capacity development in the community will not merely take an equitable approach to gender, but will focus on women in particular in order to redress current imbalances in women's access to highly skilled and remunerated work. Women could play a more active role in the political and economic activities within their respective communities. The project will encourage women to participate in decision making. Women's livelihood associations will form the basis for initial project consultations. It is anticipated that jobs that were formerly restricted to men, will have been opened up for women by the end of the project. This will not be a straightforward achievement for it involves decisions on child-care and other care within the family, but it is feasible.

**Briefly describe in the space below how the Project mainstreams environmental sustainability**

Mainstreaming of biodiversity conservation and environmental sustainability is the prime goal of the Project (see main text of Prodoc). The model is one of capacity development for government officials, demonstrations in Trial Landscapes and Focal Village Clusters, and dissemination of results regionally and nationally. A key component of the project will be public information and involvement, and collaboration with the growing number of projects and programmes that either a) advocate mainstreaming in natural resource management, or b) will benefit from project collaboration with mainstreaming of biodiversity into their economic development interventions.

### Part B. Identifying and Managing Social and Environmental Risks

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b>  <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p> <p><b>Risk Description</b></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b>  <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p> <p><b>Impact and Probability (1-5)</b></p>	<p><b>Significance (Low, Moderate, High)</b></p>	<p><b>Comments</b></p>	<p><b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b></p> <p><b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b></p>
<p><b>Risk 1:</b> Livelihood-focused interventions might have deleterious impacts on wild species or habitats in protected areas or areas proposed for protection or recognized as environmentally sensitive or critical</p> <p><b>Referred to SESP attachment 1: Principle 3, Standard 1 and 2, Questions 1.1 &amp; 2.2</b></p>	<p>I = 4 P = 2</p>	<p><b>Moderate</b></p>	<p>Some well-meaning attempts to reduce pressure on biodiversity through livelihood-focused interventions can result either in no benefit for conservation or in clear damage to biodiversity, sometimes years later and through complex socio-economic feedback. The benefits, costs and trade-offs</p>	<p>Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ToC: M8). All project interventions will be developed through long and careful participatory processes with local government, village communities and with partner projects and programmes (see Section III Strategy). Care will be taken to avoid inadvertent impacts on key habitats and species through encouraging influx of people to the sites of livelihood-focused interventions. As the Project has been classified as High Risk (Single High Risk under</p>

<p><b>Risk 2:</b> Reforestation interventions, whether through natural regeneration or planting, are poorly planned and implemented</p> <p><b>Referred to SESP attachment 1:</b> Principle 3, Standard 1 and 2, Questions 1.6 &amp; 2.2</p>	<p>I = 3 P = 1</p>	<p><b>Low</b></p>	<p>Low probability because there is high level of competence in forestry, but the impact can be high if exotic species used, for example, and the waste of resources can be high if poor consideration given to viability of planting methods.</p>	<p>Standard 5) an ESIA will be conducted and an ESMP prepared and implemented.</p> <p>The project will apply the precautionary approach to any interventions in natural resource management. (see Under Question 5 below)</p> <p>Potential impacts of climate change will be considered carefully in formulation of interventions as an integral part of Project activities and information programmes.</p> <p>Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ToC: M8). Expert consultation with foresters on the relative merits of natural regeneration and various possible planting regimes considering water availability and the use to which the forest will be put (eg wildlife habitat). The Project will not fund reforestation with exotic species and will advocate and demonstrate integrated pest management in place of agrochemical use. As the Project has been classified as High Risk (Single High Risk under Standard 5) an ESIA will be conducted and an ESMP prepared and implemented.</p>
<p><b>Risk 3:</b> Livelihood-focused interventions in fisheries or aquaculture lead to damage to species or habitats</p> <p><b>Referred to SESP attachment 1:</b> Principle 3, Standard 1 and 2, Questions 1.7 &amp; 2.2</p>	<p>I = 4 P = 2</p>	<p><b>Moderate</b></p>	<p><b>See comment under Risk 1</b></p>	<p>Potential impacts of climate change will be considered carefully in formulation of interventions as an integral part of Project activities and information programmes.</p> <p>Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ToC: M8). All project interventions will be developed through long and careful participatory processes with local government, village communities and with partner projects and programmes (see III Strategy). As the Project has been classified as High Risk (Single High Risk under Standard 5) an ESIA will be conducted and an ESMP prepared and implemented. The Environmental and Social Management Framework elaborates on how assessment and mitigation of potential impacts will follow UNDP's SES.</p> <p>Actual and potential impacts on natural resources, biodiversity and ecosystem services will be identified and addressed, employing qualified professionals to conduct assessments and to design and implement mitigation and monitoring plans.</p>

<p><b>Risk 4:</b> Livelihood-focused interventions in non-timber forest products, <i>in-situ</i> or <i>ex-situ</i>, lead to damage to species or habitats</p> <p><b>Referred to SESP attachment 1:</b> Principle 3, Standard 1 and 2, Questions 1.6 &amp; 2.2</p>	<p>I = 3 P = 3</p>	<p><b>Moderate</b></p>	<p><b>See comment above under Risk 1</b></p>	<p>Potential impacts of climate change will be considered carefully in formulation of interventions as an integral part of Project activities and information programmes.</p> <p>Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ToC: M8). All project interventions will be developed through long and careful participatory processes with local government, village communities and with partner projects and programmes (see Ill Strategy). As the Project has been classified as High Risk (Single High Risk under Standard 5) an ESIA will be conducted and an ESMP prepared and implemented. The Environmental and Social Management Framework elaborates on how assessment and mitigation of potential impacts will follow UNDP's SES.</p> <p>The project will avoid making livelihood-focused interventions too near to protected areas or critical habitats, partly to reduce risk from the intervention and partly to discourage influx of others to build on the success of early initiatives.</p> <p>Potential impacts of climate change will be considered carefully in formulation of interventions as an integral part of Project activities and information programmes.</p>
<p><b>Risk 5:</b> Cultural values and norms may be adversely affected by introduction of conventional mass scale tourism</p> <p><b>Referred to SESP attachment 1:</b> Principle 3, Standard 4, Question 4.2</p>	<p>I = 3 P = 2</p>	<p><b>Moderate</b></p>	<p>According to some local community members the social fabric of communities, and some cultural relics such as the Doric Fort at Arippu are likely to be subjected to deleterious impacts as a result of tourism. There are two aspects here: the intangible forms of culture such as practices, representations, expressions, knowledge and skills, and the tangible forms such as immovable objects, buildings and archaeological sites.</p>	<p>The project is designed to deflect conventional tourism options in preference of low-impact eco-tourism models. ). As the Project has been classified as High Risk (Single High Risk under Standard 5) an ESIA will be conducted and an ESMP prepared and implemented. The Environmental and Social Management Framework elaborates on how assessment and mitigation of potential impacts will follow UNDP's SES. There will be long and careful discussions with the local people before the project invests in any new tourism development. On the other hand, the project will be very circumspect in its engagement with private enterprise partners to ensure that such partners are genuinely committed to developing enterprises that will provide benefits in the long term through stabilizing impacts of local livelihoods on species and habitats. The Project will anticipate the need for a Cultural Heritage Management Plan as an outcome of the ESIA and ESMP development. Private sector operators will be encouraged to adhere to an agreed management plan for tourist activities at Cultural Heritage sites.</p>

<p><b>Risk 6:</b> In order to implement the Project's landscape conservation strategic designs, the Government might decide to resettle people currently living in Proposed Elephant Corridors (PECs).</p> <p><b>Referred to SESP attachment 1:</b>  <i>Principle 1, Q.3; Principle 3, Standard 5, Questions 5.1, 5.2, 5.4</i></p>	<p>I = 4  P = 3</p>	<p><b>High</b></p>	<p>Two of the three PECs in the Project Trial Landscapes have been proposed under different Projects. Implementation is expected to take place and to be funded by those projects. Precise delineation of any such corridors or forest areas will not be determined until the landscape designs and land use plans are completed by considering all relevant factors during the landscape planning process, so specific details of the need for any such resettlement are not available.</p>	<p>It is not possible at this stage to predict a) whether involuntary resettlements will be included and endorsed under the landscape designs, and b) exactly where and how many people would be involved. No Project funds will be applied to any involuntary relocations, but the causal pathway leading to negative impacts of any such relocations may ultimately be traced back to the landscape designs developed as an integral part of Project activities. A clear course of action is laid down in case involuntary relocations become the recommended course of action under the Project's landscape designs (see Annex E). In view of these circumstances it is clear that the risks of deleterious impacts arising from poorly implemented involuntary relocations taking place in the Trial Landscapes must be addressed proactively. The Project will concentrate on finding solutions that provide for elephant conservation at the same time as ensuring the well-being of local residents and, in particular, avoid involuntary, or indeed voluntary, resettlement. If and when it is decided to pursue any resettlement, or endorse it by association, a full ESIA will be carried out (see end of Annex E) according to standards established in The Sri Lankan National Involuntary Resettlement Policy (NIRP) 2001<sup>127</sup> OP 4.12, UNDP Social and Environmental Standards (SES)<sup>128</sup>, and the updated GEF policy on environmental and social safeguards<sup>129</sup>.</p>
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<sup>127</sup> <http://www.treasury.gov.lk/documents/10181/272149/RPF-NAPPP+-+For+disclosure.pdf/aa720af8-413f-4394-9ec7-1693ff487bc3>

<sup>128</sup> <http://www.undp.org/content/undp/en/home/library/page/operations1/undp-social-and-environmental-standards.html>

<sup>129</sup> <http://www.thegef.org/sites/default/files/documents/Policy%20on%20Environmental%20and%20Social%20Standards%20for%20DRAFT%20for%20Consultation%2C%202018-08-31.pdf>

<p><b>Risk 7:</b> Participation in community-based planning and implementation is dominated by people from traditionally empowered groups and under-represents women and other marginalized people, including those facing uncertain futures as a result, for example, of poverty, the recent three-year drought, and land-tenure disputes</p> <p><b>Referred to SESP attachment 1: Principle 2, Question 3</b></p>	<p>I=3 P=1</p>	<p><b>Low</b></p>	<p>Considerable attention has been given to gender matters in project design, and there is already a full Gender Action Plan, but a low risk remains that women will be underrepresented in decision making and as implementers of project activities.</p>	<p>In the meantime the project will include as part of its already planned extensive community engagement a process for vetting options on addressing human-elephant conflict issues, which may include community-determined restrictions on natural resource access and potential voluntary relocation agreements where appropriate.</p> <p>An ESMF has been prepared as a guide by which to assess the actions of government of other donor agencies that may implement involuntary relocations. When appropriate, the ESMF will guide the conduct of an ESIA and the preparation of an ESMF, and in the event of economic or physical displacement becoming likely, LAP and RAPs will be prepared as necessary as a basis to guide and advise government on measures to reduce potential involuntary resettlement as part of both the landscape planning and the implementation of the resulting landscape designs, including dealing with the risks of economic displacement and requirement for livelihood restoration.</p> <p>Project staff will be well trained in community-centred participatory processes and will live on site full time in the communities they are working with, thus building up understanding of social pressures and how to address them in the context of the project. Participatory mechanisms will be slow in pace and will focus on ensuring that there is no "elite capture" of community benefits, and that traditionally less-empowered groups of society are engaged. The Project has prepared a comprehensive Gender Action Plan to achieve equitable participation in decision making and action for women in all aspects of the Project and its implementation will be given high priority.</p>
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**QUESTION 4: What is the overall Project risk categorization?**

<b>Select one (see <a href="#">SESP</a> for guidance)</b>		<b>Comments</b>
<b>Low Risk</b>	<input type="checkbox"/>	
<b>Moderate Risk</b>	<input type="checkbox"/>	

	<p><b>High Risk</b> <input checked="" type="checkbox"/></p>	<p>A total of seven risks have been identified, of which one has been assessed as high, four moderate and two of low significance. The following safeguards are triggered (high risks): Principle 1: Human Rights, Principle 3, Standard 5 – Displacement and Resettlement; (Moderate risks): Principle 3, Standard 1: Biodiversity Conservation and Natural Resource Management; Standard 2: Climate Change Mitigation and Adaptation; and Standard 4: Cultural Heritage</p> <p>The overall project risk categorization is 'High'. Accordingly, an ESMF has been prepared to specify the processes that will be undertaken for the additional assessment of potential impacts, identification and development of appropriate risk management measures.</p>
<p><b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b></p>		
<p>Check all that apply</p>		
<p><b>Principle 1: Human Rights</b></p>	<p><input checked="" type="checkbox"/></p>	<p>Linked to the potential for physical resettlement and economic displacement under Standard 5 SE Risk No. 6 High</p>
<p><b>Principle 2: Gender Equality and Women's Empowerment</b></p>	<p><input checked="" type="checkbox"/></p>	<p>Linked to the possibility that the Project's considerable efforts under its Gender Action Plan to achieve equitable participation in decision making and action for women in all aspects of the Project might fall short of expectations SE Risk No. 7 Low</p>
<p><b>Principle 3: Environmental Sustainability</b></p>	<p><input checked="" type="checkbox"/></p>	

	<p><b>1. Biodiversity Conservation and Natural Resource Management</b></p>	<input checked="" type="checkbox"/>	<p>The project will apply the precautionary approach to any interventions in natural resource management. Actual and potential impacts on natural resources, biodiversity and ecosystem services will be identified and addressed, employing qualified professionals to conduct assessments and to design and implement mitigation and monitoring plans. The project will be wary of making livelihood-focused interventions too near to protected areas or critical habitats, partly to reduce risk from the intervention and partly to discourage influx of others to build on the success of early initiatives. SE Risk Nos 1,3,4 (Medium) and Risk No. 2 (Low)</p>
	<p><b>2. Climate Change Mitigation and Adaptation</b></p>	<input checked="" type="checkbox"/>	<p>Although climate change will be taken into account in the conservation designs and land-use plans produced and partially implemented under the project, there is still a possibility for frustration of intermediate project aims as a result of unpredicted weather events. SE Risk Nos 1,3,4 (Medium)</p>
	<p><b>3. Community Health, Safety and Working Conditions</b></p>	<input type="checkbox"/>	
	<p><b>4. Cultural Heritage</b></p>	<input checked="" type="checkbox"/>	<p>According to some local community members the social fabric of communities, and some cultural relics such as the Doric Fort at Arrippu are likely to come under threat from tourism. So there are two aspects here: the intangible forms of culture such as practices, representations, expressions, knowledge and skills<sup>97</sup>, and the tangible forms such as immovable objects, buildings and archaeological sites<sup>97</sup>. The project will take all necessary measures to avoid significant adverse impacts, selecting private sector partners in tourism with this requirement in mind. The Project will anticipate the need for a Cultural Heritage Management Plan as an outcome of the ESIA and ESMP development.</p>
	<p><b>5. Displacement and Resettlement</b></p>	<input checked="" type="checkbox"/>	<p>Unlikely to take place under the project but impact is potentially high so full ESIA will be commissioned if and when displacement and or resettlement is proposed as a means of facilitating use of the landscape by both humans and elephants and other wild species. Every effort will be made to avoid resettlement of people and if firm proposals are made, the project will assist government to assess impacts through a survey of potential PAPs, publish justification for the resettlement plan well in advance, and continue to monitor social and environmental impacts after resettlement at sites of both destination and origin. SE Risk No 6 (High)</p>

	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>
	<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>

**Final Sign Off**

<b>Signature</b>	<b>Date</b>	<b>Description</b>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		<b>Answer (Yes/No)</b>
<b>Principles 1: Human Rights</b>		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>130</sup>	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	Yes
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No

<sup>130</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	Yes
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	Yes
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?  <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>131</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?  <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No

<sup>131</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	Yes
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	Yes
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions? <sup>132</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No

<sup>132</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

## Annex H: UNDP Risk Log

Note: Red = High Risk, Yellow = Medium Risk, Green = Low Risk

Risk No.	Description	Date Identified	Type	Impact & Probability	Mitigation measures (see Annex E SESP for more details)	Owner	Submitted, updated by	Last Update	Status
1	Institutional inertia and administrative inflexibility hinders a) cross-sectoral and trans jurisdictional collaboration b) enhanced implementation of existing legislation to provide necessary back-up for project interventions at village and landscape level c) adoption of policy recommendations and pre-service and in-service training modules d) establishment and financing of post-project monitoring protocol	20 December 2018	Political, Regulatory, Financial	P:2 I:4	Action on enabling central government directives (Output 1.1) will be monitored, and reinforced where necessary. The project's approach will be slow and patient, with the Project Management Office and full time Project staff based in the project landscape. If progress is insufficient UNDP CO is ready to step in with high level representations and project funding could be suspended according to UNDP-GEF procedures (PIR, MTR). Districts will facilitate this.				
2	The other programmes, projects and private-sector enterprises with which the Project has agreed close collaboration under Output 1.3 do not invest sufficient time and other resources in consultations, coordination, communication and cooperation	20 December 2018	Operational	P:2 I:4	UNDP will increase communication and involvement with the concerned organizations well before Project Inception so that by the time of Inception there is full understanding of the need for collaboration. The Project will ensure that momentum is maintained, taking the lead whenever necessary to keep links active, interesting and productive. Project Office and project staff based full time in the project Districts will facilitate this.				

3	Public information and involvement programmes are not sustained after the end of the project	20 December 2018	Operational	P:3 I:3	Printed and audio-visual (videos, for example) materials for learning and communication are insufficient to ensure continuation of public information and involvement programmes, so the Project will emphasize training in the skills required to develop and deliver them and will work with MMDE to ensure that such capacity is available post-project. BIOFIN is an important partner in this respect.				
4	Technological constraints at local level limits use of GIS for the strategic design	20 December 2018	Operational	P:3 I:2	The project will use traditional mapping, including 3D modelling alongside GIS				
5	Local residents do not feel sufficiently involved and valued, are sceptical as a result of being exposed other projects that led to unrealistic expectations, and find that the Project's livelihood-focused interventions produce results too slowly to persuade people to continue with changed behaviour beyond the end of the project	20 December 2018	Social, Operational	P:2 I:3	The Project will monitor feelings of involvement, strengthen public information and involvement programmes as appropriate (e.g. arrange visits between focal and non-focal Village Clusters), and modify the participatory methods if indicated. The full time resident staff in each of the three Trial Landscapes will communicate constantly, and will demonstrate an environmentally friendly, sometimes self-sacrificing, approach by establishing a low carbon footprint - low use of plastics, sensible use of fuel and electricity, attention to sewage and solid waste disposal in project operations.				
<b>RISKS IDENTIFIED BY THE SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE (ANNEX E)</b>									

Risk 6 SER1 *	Livelihood-focused interventions might have deleterious impacts on wild species or habitats in protected areas or areas proposed for protection or recognized as environmentally sensitive or critical	20 December 2018	Social, Environmental	P:2 I:4	Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ThOCh: M8). All project interventions will be developed through long and careful participatory processes with local government, village communities and with partner projects and programmes (see III Strategy). Care will be taken to avoid inadvertent impacts on key habitats and species through encouraging influx of people to the sites of livelihood-focused interventions.			
Risk 7 SER2 *	Reforestation interventions, whether through natural regeneration or planting, are poorly planned and implemented	20 December 2018	Social, Environmental	P:2 I:2	Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ThOCh: M8). Expert consultation with foresters on the relative merits of natural regeneration and various possible planting regimes considering water availability and the use to which the forest will be put (eg wildlife habitat).			
Risk 8 SER3 *	Livelihood-focused interventions in fisheries or aquaculture lead to damage to species or habitats	20 December 2018	Social, Environmental	P:2 I:4	Project design includes mitigation of this risk through environmental and social assessment of each and every project intervention (see ThOCh: M8). All project interventions will be developed through long and careful participatory processes with local government, village communities and with partner projects and programmes (see III Strategy).			
Risk 9 SER4 *	Livelihood-focused interventions in non-timber forest products, <i>in-situ</i> or <i>ex-situ</i> , lead to damage to species or habitats	20 December 2018	Social and Environmental	P:3 I:3	See management measures under Risk 3			

<p>Risk 10 SER5*</p>	<p>Cultural values may be adversely affected by introduction of tourism</p>	<p>20 December 2018</p>	<p>Social and Environmental</p>	<p>P:2 I:3</p>	<p>On the one hand there will be long and careful discussions with the local people before the project invests in any new tourism development. On the other hand, the project will be very circumspect in its engagement with private enterprise partners to ensure that such partners are genuinely committed to developing enterprises that will provide benefits in the long term through stabilizing impacts of local livelihoods on species and habitats.</p>			
<p>Risk 11 SER6*</p>	<p>Risk 11: In order to implement the Project's landscape conservation strategic designs, government decides on involuntary resettlement of people from proposed elephant corridors and other forest areas and as a result the Project becomes associated with any consequent negative impacts.</p>	<p>20 December 2018</p>	<p>Social and Environmental</p>	<p>P:3 I:4</p>	<p>It is impossible to predict a) whether resettlements will be required, and b) where and how many people might be involved but a clear course of action is laid down in case resettlements become the preferred course of action (see Annex E). The Project will first make every effort to find solutions that provide for elephant conservation at the same time as ensuring the well-being of local residents and, in particular, avoid involuntary, or indeed voluntary, resettlement. If and when it is decided to pursue resettlement, or endorse it by association, a full ESIA will be carried out (see end of Annex E) according to standards established in The Sri Lankan National Involuntary Resettlement Policy (NIRP) 2001<sup>i</sup> OP 4.12, UNDP Social and Environmental Standards (SES)<sup>ii</sup>, and the updated GEF policy on environmental and social safeguards<sup>iii</sup>.</p>			

Overall Risk 12 SER7	Participation in community-based planning and implementation is dominated by people from traditionally empowered groups and under-represented women and other marginalized people, including those facing uncertain futures as a result, for example, of poverty, the recent three year drought, and land-tenure disputes	20 December 2018	Social	P:1 I:3	Project staff will be well trained in community-centred participatory processes and will live on site full time in the communities they are working with, thus building up understanding of social pressures and how to address them in the context of the project. Participatory mechanisms will be slow in pace and will focus on ensuring that there is no "elite capture" of community benefits, and that traditionally less-empowered groups of society are engaged.			
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\* SER = Social and Environmental Risk and the number refers to the Risks given in the SESP (Annex E)

## Annex C: Overview of Technical Consultancies

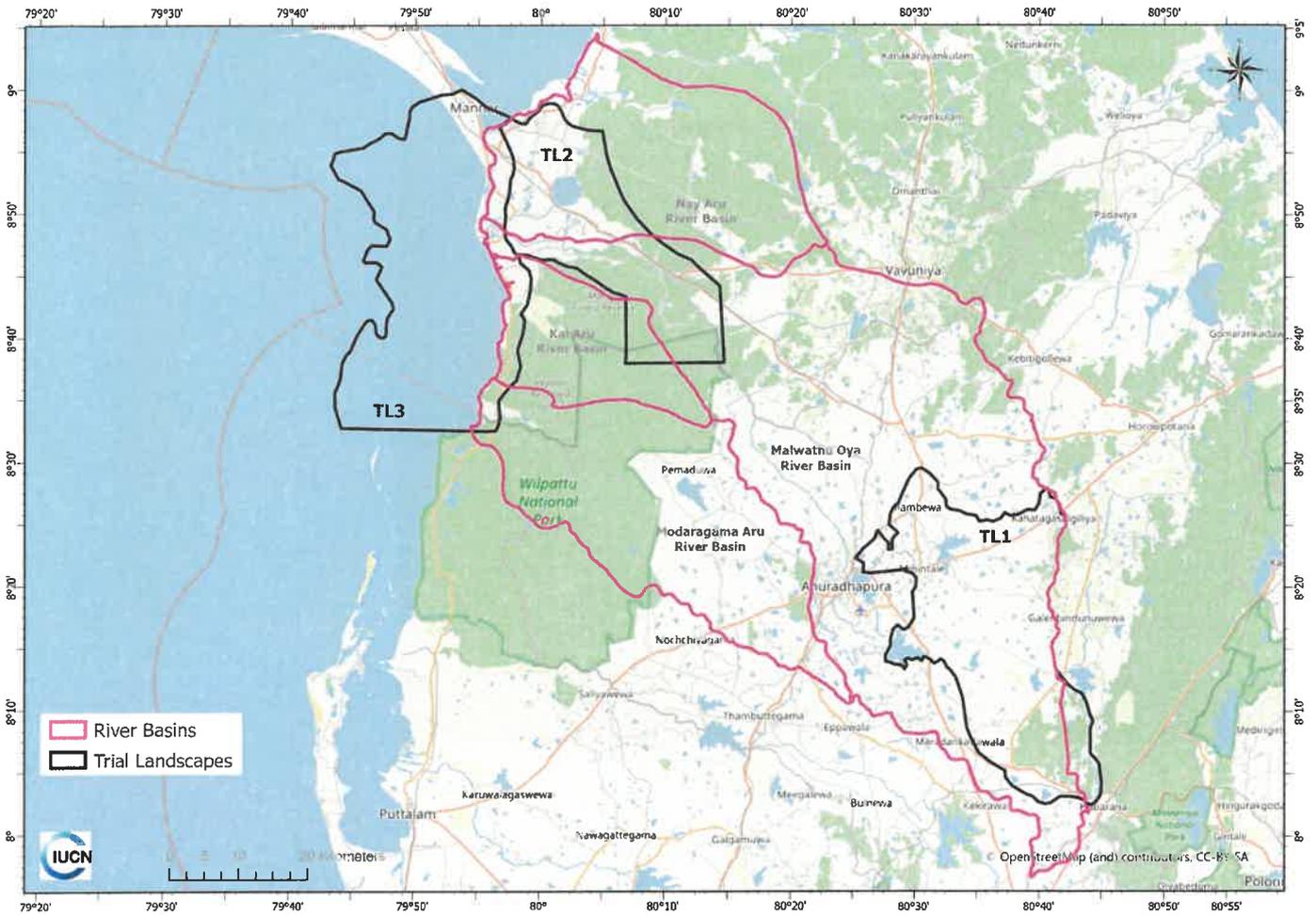
Consultant	Time Input	Tasks, Inputs and Outputs
<b>For Project Management and Overall Technical Direction</b>		
<b>Local / National contracting</b>		
Project Manager (PM) Duty Station: Mannar, with frequent travel to Colombo, Anuradhapura and all three Trial Landscapes Rate: US\$2,250 per month	48 months	The Project Manager (PM), together with the Senior Technical Adviser (STA) will be responsible for the overall management of the project, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors.
Senior Technical Advisor (STA) Duty Station: Mannar, with frequent travel to Colombo, Anuradhapura and all three Trial Landscapes Rate: US\$2,250 per month	48 months (nominally 4 months under Project Management, and 44 months under the individual Outcomes - see below)	The Senior Technical Adviser (STA) will be responsible for providing overall technical advice and management support to the entire Project. Will take the lead in particular on the Landscape Conservation Design (Outcome 2), but will organize and participate in all aspects of the project, including the commissioning and oversight of biophysical and socio-economic research under Outputs 2.3 and 3.3, and the oversight of the work of other Project staff engaged primarily under Outcomes 1, 3 and 4.
Project Officer (PO) Rate US\$1,500 per month	48 months part time;	The Project Officer will assist with project assurance and project management at the Colombo base, Support the Project Manager and Senior Technical Advisor in monitoring of the project activities; providing technical guidance on incorporation of gender and social inclusiveness aspects and overall safeguards to the project activities
Project Assistant (PA) Rate: US\$1,200 per month	48 months	The Project Assistant and Interpreter will assist in the PMO and at the field sites in administrative, practical tasks as well as with a reasonable amount of translation and interpretation when required.
Finance and Procurement Officer (FPO) Rate: US\$1,500 per month. (Cost sharing basis- only 750 US\$ per month will be charged to the project).	48 months	The FPO will support project implementation with financial accounting; maintaining all the financial records; supporting the annual audit; implementing procurement in collaboration with the Project Manager according to the applicable guidelines; preparing financial reports
<b>For Specific Technical Assistance</b>		
<b>Across all Outcomes</b>		
<b>Local / National contracting</b>		
Learning and Communications Officer (LCO) Duty Station: Mannar, with frequent travel to Colombo, Anuradhapura and all three Trial Landscapes Rate: US\$1200 per month	48 months	The Learning and Communications Officer (LCO) will be responsible for all information and involvement programmes under the Project, in particular the design and delivery of Outputs 2.1, 3.1, 4.3, 4.4 and 4.5, and will liaise with all project officers and consultants, and with partners (projects and programmes) to deliver Output 1.3 Will maintain the Stakeholder Engagement Framework and draw up and implement the Project Knowledge Management and Communication Strategy

Consultant	Time Input	Tasks, Inputs and Outputs
<p>Eight to ten short term consultants  Duty Stations: TBD according to needs  Rate: US\$1500 to US\$3000 per month <i>pro rata</i> depending on qualifications and duration of contract</p>	<p>As required: estimated one to two months per year for between one and four years</p>	<p>Specific tasks as required. Will include specialists in tourism, agriculture, forestry, fisheries, birds, elephants, sociology, gender, meeting facilitation and others</p>
<b>For Specific Technical Assistance</b>		
<b>Outcome 1</b>		
<b>Local / National contracting</b>		
<p>Training Needs Assessor (TNA)  Duty Station: Colombo, with travel to Mannar and Arunadhapura as necessary  Rate: US\$ 1,600 per month</p>	<p>6 months  (Year 1)</p>	<p>Under supervision of Senior Technical Advisor (STA) and Project Manager (PM) carry out training needs assessment for mainstreaming of biodiversity and compare, using Gap Analysis, with the training currently available in government in-service and pre-service training institutions and in universities (Output 1.1).</p>
<p>Curriculum Developer (CD)  Duty Station: Colombo, with travel to Mannar and Arunadhapura as necessary  Rate US\$1,600 per month</p>	<p>12 months  (Six months per year in Years 1,2)</p>	<p>Under supervision of Senior Technical Advisor (STA) and Project Manager (PM) and in collaboration with the Training Needs Assessor (TNA), develop modules and mechanisms to fill the gaps demonstrated in the Training Gap Analysis and train teachers in their use (Output 1.2)</p>
<b>Outcome 2</b>		
<b>Local / National contracting</b>		
<b>International / Regional and global contracting</b>		
<p>International Landscape Conservation Advisor (ILCA)  Duty Station: Mannar District, with travel to all three Trial Landscapes  Rate: US\$ 10,000 per month (inclusive)</p>	<p>2 months  (2 months Year 2)</p>	<p>In close coordination with the Project Manager (PM), the Senior Technical Adviser (STA) and the Landscape Conservation Planner (LCP), will provide international perspective, strategic guidance and technical inputs to the implementation of activities under Outputs 2.1, 2.2, 2.3, 2.4, 2.5.</p>
<b>Outcome 3</b>		
<b>Local / National contracting</b>		
<p>Upper Malwathu Community-based conservation expert (UMCCE)  Duty Station: Ritigala  Rate: US\$1,400 per month</p>	<p>48 months</p>	<p>In close coordination with the Project Manager (PM), the Senior Technical Adviser (STA), the International Landscape Conservation Design Adviser (ILCA), the Landscape Conservation Planner (LCP) and the Learning and Communication Officer (LCO), will oversee, in Trial Landscape 1, the development and implementation of participatory consultation within communities and between communities and local government, the development of village-cluster level land-use plans and technical and material support for livelihood-focused project interventions in natural resource management (Outputs 3.1, 3.2, 3.3, 3.4, 3.5)</p>

Consultant	Time Input	Tasks, Inputs and Outputs
<p>Lower Malwathu Community-based conservation expert (LMCCE) Duty Station: Madhu Rate: US\$1,400 per month</p>	<p>48 months</p>	<p>In close coordination with the Project Manager (PM), the Senior Technical Adviser (STA), the International Landscape Conservation Design Adviser (ILCA), the Landscape Conservation Planner (LCP) and the Learning and Communications Officer (LCO), will oversee, in Trial Landscape 2, the development and implementation of participatory consultation within communities and between communities and local government, the development of village-cluster level land-use plans and technical and material support for livelihood-focused project interventions in natural resource management (Outputs 3.1, 3.2, 3.3, 3.4, 3.5)</p>
<p>Malwathu Estuary Community-based conservation expert (MECCE) Duty Station: Arippu Rate: US\$1,400 per month</p>	<p>48 months</p>	<p>In close coordination with the Project Manager (PM), the Senior Technical Adviser (STA), the International Landscape Conservation Design Adviser (ILCA), the Landscape Conservation Planner (LCP) and the Learning and Communications Officer (LCO), will oversee, in Trial Landscape 3, the development and implementation of participatory consultation within communities and between communities and local government, the development of village-cluster level land-use plans and technical and material support for livelihood-focused project interventions in natural resource management (Outputs 3.1, 3.2, 3.3, 3.4, 3.5)</p>
<b>International / Regional and global contracting</b>		
<b>Outcome 4</b>		
<b>Local / National contracting</b>		
<p>Mid-term Review Consultant Duty Station: Home based with one trip to Colombo, Mannar, Arundhapura and selected field sites Rate: US\$10,000 inclusive</p>	<p>ca 1 month</p>	<p>Review the Project results against the project document and advise the project board on best possible ways to ensure the achievement of the project objective; Assess the opportunities, threats, weaknesses and strengths of the project after two years of implementation and recommend revisions to the project approach if necessary.</p>
<p>Terminal Evaluation Consultant Duty Station: Home based with one trip to Colombo, Mannar, Arundhapura and selected field sites Rate: US\$15,000 inclusive</p>	<p>ca 1 month</p>	<p>Assess the level of achievement against project objective and outcomes; Assess the comparative strengths and weaknesses of the project and make recommendations for future interventions</p>
<b>International / Regional and global contracting</b>		
<p>Mid-term Review Team Leader Duty Station: Home based with one trip to Colombo, Mannar, Arundhapura and selected field sites Rate: US\$20,000 inclusive</p>	<p>ca 1 month</p>	<p>Review the Project results against the project document and advise the project board on best possible ways to ensure the achievement of the project objective; Assess the opportunities, threats, weaknesses and strengths of the project after two years of implementation and recommend revisions to the project approach if necessary.</p>
<p>Terminal Evaluation Consultant Duty Station: Home based with one trip to Colombo, Mannar, Arundhapura and selected field sites Rate: US\$30,000 inclusive</p>	<p>ca 1 month</p>	<p>Assess the level of achievement against project objective and outcomes; Assess the comparative strengths and weaknesses of the project and make recommendations for future interventions</p>

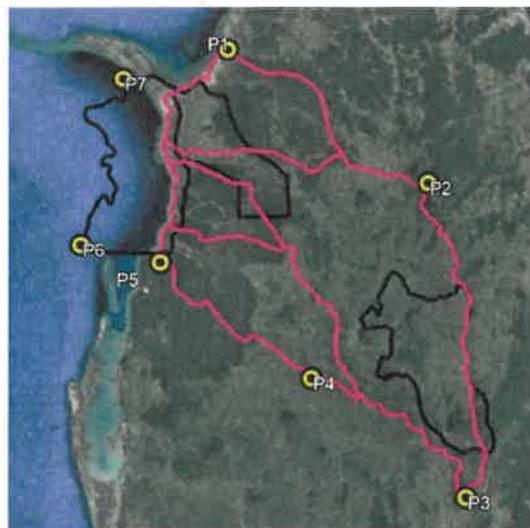
## Annex AA: Project Map and geospatial coordinates of the project area

### Project Map:



The Malwathu Oya and three other small river basins have completely covered the project area, the coordinates of several locations around the river basins are as follows.

- P1 - 80° 5.598'E, 9° 4.007'N
- P2 - 80° 36.311'E, 8° 43.153'N
- P3 - 80° 41.090'E, 7° 56.032'N
- P4 - 80° 18.185'E, 8° 13.665'N
- P5 - 79° 55.316'E, 8° 31.136'N
- P6 - 79° 43.330'E, 8° 33.842'N
- P7 - 79° 49.465'E, 8° 59.492'N



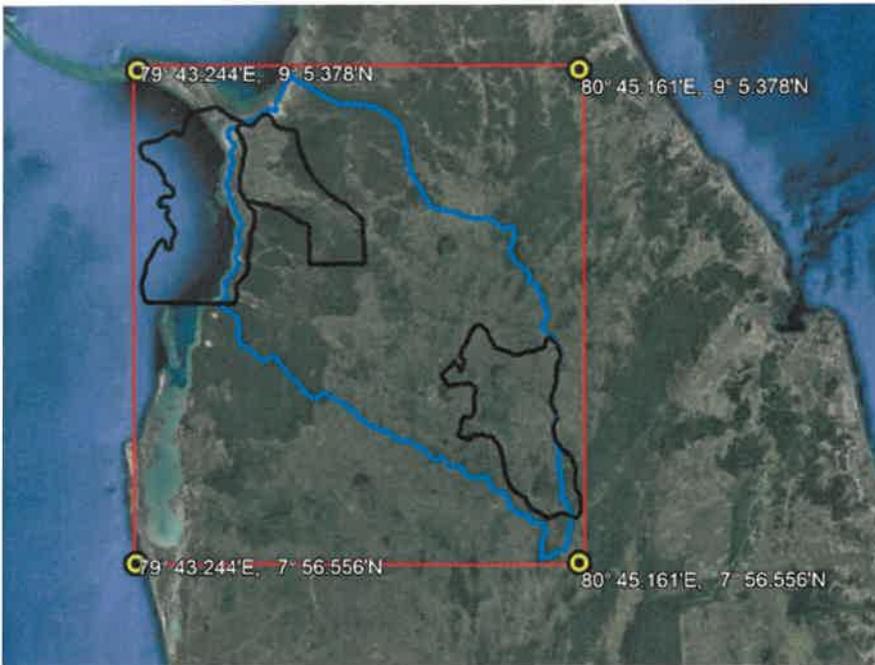
The four corners of the rectangle, which cover the project area:

North east -  $80^{\circ} 45.161'E$ ,  $9^{\circ} 5.378'N$

South east -  $80^{\circ} 45.161'E$ ,  $7^{\circ} 56.556'N$

Southwest -  $79^{\circ} 43.244'E$ ,  $7^{\circ} 56.556'N$

Northwest -  $79^{\circ} 43.244'E$ ,  $9^{\circ} 5.378'N$



**Annex AB: Monitoring Plan:**

This Monitoring Plan and the M&E Plan and Budget in Section VI of this project document will both guide monitoring and evaluation at the project level for the duration of project implementation.

Monitoring	Indicators	Targets		Description of indicators and targets	Data source/Collection Methods <sup>133</sup>	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		Mid term	End of the project						
<p><b>Objective:</b> To strengthen protection of globally significant biodiversity through mainstreaming of conservation and sustainable practices into land use planning and sectoral decision making in forestry, agriculture and tourism sectors</p>	<p><b>Indicator 1</b> Area of land and marine habitat (protected and non-protected) administered under a landscape conservation design that mainstreams biodiversity conservation into natural resource management (hectares)</p>	<p>Land 80,000 (TL1 44,000 + TL2 27,000 + TL3 9,000) Marine (TL3) 20,000 Protected and non-protected – TBD (data will be available by end of 2020)</p>	<p>Land 155,000 ha (TL1 87,000 + TL2 53,000 + TL3 15,000) Marine (TL3) 55,000 Protected and non-protected - TBD</p>	<p>Ha of land space coming under protection according to the wildlife act fulfill requirements of wildlife species, human via biodiversity mainstreaming for protected area and buffer areas (non protected) which is administered under the landscape conservation design and management.</p>	<p>Secondary – DSD and District Coordinating committee Meeting Minutes Draft and Final Strategic Design from authorities. Government Memos</p>	<p>Annually</p>	<p>National Project Coordinator, UNDP</p>	<p>Valid legal notice (eg. Gazette, Cabinet Memo etc.) End of the project declared the area protected by either single or multiple government mandated agency/ies</p>	<p><b>Risks:</b> Political will, both at national and sub-national levels is insufficient to drive the landscape approach forward <b>Assumptions:</b> Ministry of Environment and Wildlife Resources builds the necessary support for the project's marine and terrestrial work in the three Trial Landscapes by the time of project inception.</p>
	<p><b>Indicator 2</b> The number of people, disaggregated by gender, that have benefitted</p>	<p>Male 500 Female 500</p>	<p>Male 1,600 Female 1,600</p>	<p>People benefited by livelihood projects which complements biodiversity mainstreaming, including gender segregation, this will incorporate with the all level of integrated</p>	<p><b>Data sources:</b> Primary - The beneficiaries will be measured through Focus Group Discussions and Sample Surveys</p>	<p>Annually</p>	<p>National Project Coordinator, UNDP</p>	<p>Resource profiles from EDOs and GS, consolidate</p>	<p><b>Risk:</b> Data gaps exists at field level including variations between GS and EDOs. <b>Assumption:</b></p>

<sup>133</sup> Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring. The PIR cannot be used as a source of verification.

Monitoring	Indicators	Targets		Description of indicators and targets	Data source/Collection Methods <sup>133</sup>	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		Mid term	End of the project						
	monetarily, from project-induced changes in livelihoods.			planning such as national/provincial level to three trial landscapes level.	Secondary – Project distribution documents, and resource profiles.			d report on Livelihood. Bi-annual progress review on gender action plan	Data will be made available through external resource profiles.
	<p><b>Indicator 3</b> Area of tropical dry forest and mangrove in the three Trial Landscapes restored and rehabilitated (improved) under a landscape conservation design (hectares</p> <p>(UNDP reference- Contributes to IRRF indicator 1.4.1.2 C Number of shared water ecosystems – fresh or marine- under cooperative management</p>	<p>6,000 Tropical Dry Forest: TL1 2,500 TL2 3,000 TL 3 500 Mangrove TL3 20</p>	<p>21,000 Tropical Dry Forest: TL1 8,950 TL2 8,950 TL 3 3,000 Mangrove TL3 100</p>	<p>Area of dry forest and mangrove patches which is rehabilitated, and area of deforestation landscape reforested which is also included in the forest dept's annual restoration plan covering the three trial landscapes.</p>	<p>Secondary - Annual reports of Forest Department &amp; Wildlife Primary - Surveys</p>	Annually	National Project Coordinator, UNDP	<p>Annual reports of Forest Department &amp; Wildlife. Survey documents</p>	<p><b>Risks:</b> Political will, both at national and sub-national levels is insufficient to drive the landscape approach forward <b>Assumptions:</b> Ministry of Environment and Wildlife Resources builds the necessary support</p>

Monitoring	Indicators	Targets		Description of indicators and targets	Data source/Collection Methods <sup>133</sup>	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		Mid term	End of the project						
<b>Outcome 01</b> An enabling environment to mainstream integrated approaches into natural resource management in production sectors and landscapes	<b>Indicator 4</b> Number of sectoral and vocational training institutions that have adopted modules on mainstreaming of biodiversity into natural resource management, tourism and other economic development	4	9	Training modules in relation to biodiversity conservation to be adapted by vocational training institutes coming under wildlife, and government authorities to enhance capacity on biodiversity mainstreaming and natural resource management, tourism and other economic development aspects.	Secondary - Copies of the curricula of the training institutions	Annually	National Project Coordinator, UNDP	Agreements, emails, and other written documents	<b>Risks:</b> Institutional constraints in administration leads to slow uptake of the modules even though there is clear intention to include them in curricula <b>Assumptions:</b> Institutions collaborate with the project
		<b>Indicator 5</b> Capacity of institutions as measured by the UNDP's Capacity Development Scorecard	District 22/45 Divisional 17/45	District 30/45 Divisional 30/45	Capacity of institutions defined on the UNDP capacity scorecard. [UNDP capacity development scorecard for Anuradhapura and Mannar Districts (Annex Z2)]	Communication with the relevant institutions and application of the Scorecard modified to deal with the aspects relevant to mainstreaming	UNDP Scorecard data analysis	Annually	National Project Coordinator, UNDP
<b>Outcome 2:</b> Natural resource	<b>Indicator 6</b>	0	18,824 ha	Ha of high conservation value forest which is	Source documents approved including	Annually	National Project	Multiple sources to	<b>Risks:</b>

Monitoring	Indicators	Targets		Description of indicators and targets	Data source/Collection Methods <sup>133</sup>	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		Mid term	End of the project						
management, tourism and land use are guided by a strategic design for biodiversity conservation and sustainable livelihoods across multiple jurisdictions in three Landscapes in the Northern and Central Provinces.	Area of High Conservation Value Forest that is under improved management to benefit biodiversity under landscape conservation designs in the three Trial Landscapes (hectares) (equivalent to GEF Core Indicator 4.1 but excluding the 1,219 ha of Forest Plantation)			identified by Forest dept, and dept wildlife conservation Target coverage hectares under First proposed Elephant Corridor in TL1 Second proposed Elephant Corridor in TL1 Areas expected to match ESA criteria in TL1 Forest plantations in TL1 Proposed Elephant Corridor in TL2 Areas expected to match ESA criteria in TL2 Areas expected to match ESA criteria in TL3	decisions verified at Provincial Government level.		Coordinator, UNDP	verify such as Approved Management Plans, Gazetted areas, individual reports generated by the project	Decisions may not be carried through in practice, but this indicator focuses on securing protection of some kind on paper <b>Assumptions:</b> Provincial government supports the decisions made during the landscape conservation design work at the Trial Landscapes/District level
	<b>Indicator 7</b> Annual percentage of Minor and Major Permit applications in which biodiversity impact criteria used in decisions by Coast	<b>TBD</b>	<b>TBD</b>	This indicator needs to be decided at the inception workshop including its definition.	Examination of applications and judgements/ responses. See: <a href="http://www.coastal.gov.lk/downloads/pdf/Permit%20Guideline.pdf">http://www.coastal.gov.lk/downloads/pdf/Permit%20Guideline.pdf</a> and <a href="http://cmsdata.iucn.org/downloads/proceedings_of_the_workshop_on_ecological_considerations_in_c">http://cmsdata.iucn.org/downloads/proceedings_of_the_workshop_on_ecological_considerations_in_c</a>	Annually	National Project Coordinator, UNDP		<b>Risks:</b> Ambiguity in the documentation <b>Assumptions:</b> Access to all required documentation

Monitoring	Indicators	Targets		Description of indicators and targets	Data source/Collection Methods <sup>133</sup>	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		Mid term	End of the project						
	Conservation Department in Trial Landscape 3				oastal_development.pdf (page 58)				
	<b>Indicator 8</b> Mean score (+/- SD) on a standard environmental/biodiversity impact assessment score card modified for the project, of tourism operations (a) marine-based (b) land-based in the three Trial Landscapes	TBD	TBD	Mean score on a standard environmental biodiversity impact for the three landscapes covering land and marine biodiversity calculated according to the Biodiversity Assessment Calculator	Scorecard completed by independent consultant <a href="https://www.lmbc.nsw.gov.au/bamcalc">https://www.lmbc.nsw.gov.au/bamcalc</a>	Annually	National Project Coordinator, UNDP	Environmental/biodiversity impact assessment score sheet and analysis document.	<b>Risks:</b> Unexpected difficulties on the application of the scorecard <b>Assumptions:</b> (i) Good cooperation from local communities in answering questions and providing information. (ii) Adequate time assigned for verification
	<b>Indicator 9</b> Estimate of the annual amount of carbon (tCO2eq) sequestered/emissions avoided over the twenty years following the project's inception taking into account progress on the	889058	889058	Carbon sequestration for agriculture, calculated for estimated years for a landscape-scale greenhouse gas (GHG) assessment of activities in agriculture and forestry. It is based on a <a href="#">technical report published by FAO</a> which includes appendices with all resource material and descriptions of the individual calculators.	<a href="http://ird.t-t-web.com/">http://ird.t-t-web.com/</a>	Annually	National Project Coordinator, UNDP	Recalculation with updated information according to the approach in Annex B	<b>Risks:</b> Inherent uncertainties about future events <b>Assumptions:</b> Targets based on the assumption that the strategic design is adopted (Baseline and Mid-term estimates) and followed (End of Project estimate). Good cooperation with communities and

Monitoring	Indicators	Targets		Description of indicators and targets	Data source/Collection Methods <sup>133</sup>	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		Mid term	End of the project						
	development, adoption, and implementation of the strategic designs at the heart of the project.								local government, and thorough marine and terrestrial surveys and mapping/satellite imagery analysis
<b>Outcome 3</b> Biodiversity conservation priorities shape sustainable livelihoods in natural resource management and tourism in six Focal Village Clusters in three Northern Landscapes in the North and Central Provinces.	<b>Indicator 10</b> Area of land in production systems under sustainable land management compatible with biodiversity conservation (hectares)	15000 ha	50406 ha	Following extents of land area will be benefited from the sustainable land use practices compatible with biodiversity conservations # no of hectares Sustainable Forest Management, GAP (good agricultural practices) and nature-friendly tourism, in TL1 Sustainable Forest Management, GAP (good agricultural practices) and nature-friendly tourism, in TL2 Sustainable Forest Management, GAP (good agricultural practices) and nature-friendly tourism, in TL3	The reports generated by Department of Agriculture, Forest Department or combine physical delivery report authorized by integrated agency coordination and administration committee to be established or supported by the project scorecard . See Annex Z and Bucket et al. 2006 <a href="https://www.researchgate.net/publication/237228931_UNDERSTANDING_EC OAGRICULTURE_A_FRAMEWORK_FOR_MEASURING_LANDSCAPE_PERFORMANCE">https://www.researchgate.net/publication/237228931_UNDERSTANDING_EC OAGRICULTURE_A_FRAMEWORK_FOR_MEASURING_LANDSCAPE_PERFORMANCE</a>	Annually	National Project Coordinator, UNDP	Combined delivery report from Forest Dept and Agriculture annex Z	<b>Risks:</b> Unexpected difficulties on the application of the scorecard <b>Assumptions:</b> (i) Good cooperation from local communities in answering questions and providing information. (ii) Adequate time assigned for verification

Monitoring	Indicators	Targets		Description of indicators and targets	Data source/Collection Methods <sup>133</sup>	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		Mid term	End of the project						
				Reducing soil erosion, minimize landslides, land degradation neutrality, maintaining land productivity. This is tested on a sample considering the hectare patch as the base.					
	<b>Indicator 11</b> Number of new instances each year of major coral damage along a 1km reef transect in Trial Landscape 3	Decrease on baseline by 10%	Decrease on baseline by 30%	This is to be defined at the inception workshop	Standard fixed transect survey Measurement cross check of data between past report incidence vs current.	Annually	National Project Coordinator, UNDP		<b>Risks:</b> The standard fixed transect is left untouched simply to achieve a good score on the indicator <b>Assumptions:</b> The assessment will be done by an independent diving team without broadcasting the links to the indicator
	<b>Indicator 12</b> Percentage of interviewees disaggregated by gender in Focal Villages who say that livelihoods have been enhanced as a	20% (men) 20% (women)	50% (men) 50% (women)	This link to indicator 1. Indicator 11 will focus to three project landscape while indicator 1 covers broader impacts generated for the betterment of Gender and Social Inclusiveness even beyond the three trial	Interviews with sound sampling protocols Focus group discussions and surveys to be conducted among the CBOs and divisional stakeholders who are work in the three trial landscapes		National Project Coordinator, UNDP	Survey documents from KIs and FGDs	<b>Risks:</b> Sampling problems make comparisons invalid <b>Assumptions:</b> Well-designed polling. Honest answers from interviewees

Monitoring	Indicators	Targets		Description of indicators and targets	Data source/Collection Methods <sup>133</sup>	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		Mid term	End of the project						
	result of mainstreaming biodiversity into land-use plans			landscapes which also includes that beneficiaries are at profit from implementing biodiversity friendly livelihoods.					
	<b>Indicator 13</b> Percentage of key government and community organizations that publicly endorse and commit to each of the six village-cluster land-use plans	Plan 1: 30% Plan 2: 30% Plan 3: 30% Plan 4: 30% Plan 5: 30% Plan 6: 30%	Plan 1: 60% Plan 2: 60% Plan 3: 60% Plan 4: 60% Plan 5: 60% Plan 6: 60%	six village cluster plan - public and civil societies who supports the endorsement of cluster village plans (GS, Samurdhi, EDO, CBOs, Forest Dept, etc).	Perception surveys	Annually	National Project Coordinator, UNDP	Minutes of meetings, publications and official documents issued	<b>Risks:</b> Sampling problems invalidate the results <b>Assumptions:</b> (i) Expertly designed protocols (ii) Good collaboration from respondents and honest replies
	<b>Indicator 14</b> Policy, community readiness for sustainable tourism in the Focal Village Clusters measured by Scorecard Annex Y	Increase of 15% on baseline score out of 205	Increase of 35% on baseline score out of 205	Following key criteria to be measured RECOGNIZED STEWARDSHIP RIGHTS-right to use / own and access certain environmental asset / service OPPORTUNITY FOR POLICY REFORM NATURAL RESOURCE MANAGEMENT	Tourism Destination List, Scorecard assessed for each tourism destination site	Annually	National Project Coordinator, UNDP	Scorecard completed by independent consultant	<b>Risks:</b> Unexpected difficulties in the application of the scorecard <b>Assumptions:</b> (i) Good cooperation from interlocutors in answering questions and providing information. (ii) Adequate time assigned for verification

Monitoring	Indicators	Targets		Description of indicators and targets	Data source/Collection Methods <sup>133</sup>	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		Mid term	End of the project						
<p><b>Outcome 4</b> Monitoring and evaluation, and dissemination of knowledge of project methods and results to contribute to wider application of landscape approach to mainstreaming of biodiversity</p>	<p><b>Indicator 15</b> Number of (a) villages and (b) DSDs in which independent monitoring of project impacts is taking place according to sound protocols</p>	To be determined by Inception based on numbers of villages in Focal Village Clusters	To be determined by Inception, based on numbers of villages in Focal Village Clusters	Number of villages and DSDs in which independent monitoring of project impacts is taking place according to sound protocols	KII and demonstrations from those doing monitoring	Annually	National Project Coordinator, UNDP	To be determined by Inception	<p><b>Risk:</b> Monitoring systems not considered at structural level.</p> <p><b>Assumption:</b> having proper guidance and follow-up in place which leads to assurance of monitoring systems are adhered.</p>
	<p><b>Indicator 16</b> Number of substantial knowledge products that reflect best practices and lessons learned including project results and sustainability strategy.</p>	22	42	Availability of lessons learnt and best practices, which is captured through a dedicated knowledge portal for biodiversity conservation that enable open access to knowledge products initiated with the support of the project. Total # of lessons drawn from knowledge products.	Measures of website traffic, search results on project name, social media reach and engagement. Lists of grey and published literature	Annually	National Project Coordinator, UNDP	Link page of the web of the Government Ministry mandated for the environmental conservation	<p><b>Risk:</b> Ambiguous internet metrics</p> <p><b>Assumption:</b> Use of state of the art measures</p>

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- i <http://www.treasury.gov.lk/documents/10181/272149/RPF-NAPPP+-+For+disclosure.pdf/aa720af8-413f-4394-9ec7-1693ff487bc3>
  - ii <http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html>
  - iii <http://www.thegef.org/sites/default/files/documents/Policy%20on%20Environmental%20and%20Social%20Safeguards%20DRAFT%20for%20Consultation%2C%202018-08-31.pdf>