



Empowered lives.
Resilient nations.

United Nations Development Programme

Government of Sri Lanka

Mid-Term Review of UNDP/GEF Project: Sixth Operational Phase of the GEF Small Grants Programme in Sri Lanka (SGP6 Project)

(GEF Project ID: 9093; UNDP PIMS ID: 5529)

Final Report

Mission Members:

Mr. Roland Wong, International Consultant

June 2019

TABLE OF CONTENTS

	Page
SYNOPSIS.....	III
EXECUTIVE SUMMARY	IV
ABBREVIATIONS	X
1. INTRODUCTION.....	1
1.1 PURPOSE OF THE MID-TERM REVIEW.....	1
1.2 SCOPE AND METHODOLOGY	1
1.3 STRUCTURE OF THE MTR REPORT	3
2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT	4
2.1 DEVELOPMENT CONTEXT	4
2.2 PROBLEMS THAT SGP6 SEEKS TO ADDRESS	4
2.3 SGP6 PROJECT DESCRIPTION AND STRATEGY	5
2.4 SGP6 PROJECT IMPLEMENTATION ARRANGEMENTS	5
2.5 SGP6 PROJECT TIMING AND MILESTONES	6
2.6 MAIN STAKEHOLDERS	6
3. FINDINGS	7
3.1 PROJECT STRATEGY.....	7
3.1.1 <i>Project Design</i>	7
3.1.2 <i>Analysis of Project Results Framework</i>	9
3.2 PROGRESS TOWARDS RESULTS	10
3.2.1 <i>Progress towards Outcome Analysis</i>	10
3.2.2 <i>Remaining Barriers to Achieving Project Objective</i>	22
3.3 PROJECT IMPLEMENTATION AND ADAPTIVE MANAGEMENT.....	22
3.3.1 <i>Management Arrangements</i>	22
3.3.2 <i>Work Planning</i>	23
3.3.3 <i>Finance and Co-Finance</i>	23
3.3.4 <i>Project Level Monitoring and Evaluation Systems</i>	27
3.3.5 <i>Stakeholder Engagement</i>	29
3.3.6 <i>Reporting</i>	30
3.3.7 <i>Communications</i>	30
3.3.8 <i>Gender</i>	31
3.4 SUSTAINABILITY.....	32
4. CONCLUSIONS AND RECOMMENDATIONS	34
4.1 CONCLUSIONS	34
4.2 RECOMMENDATIONS	37
APPENDIX A – MISSION TERMS OF REFERENCE FOR SGP6 MTR	40
APPENDIX B – MISSION ITINERARY (FOR MARCH 2019).....	48
APPENDIX C – LIST OF PERSONS INTERVIEWED.....	51
APPENDIX D – LIST OF DOCUMENTS REVIEWED.....	54
APPENDIX E – PROJECT RESULTS FRAMEWORK FOR SGP6 PROJECT (FROM NOVEMBER 2016).....	55
APPENDIX F – SAMPLE LISTING OF SGP6 GRANT PROJECTS	59
APPENDIX G - GEF CORE INDICATORS AT MTR FOR SGP6 SRI LANKA [PIMS ID 5529] [28 MAY 2019]	66

APPENDIX H - RESPONSES TO COMMENTS RECEIVED ON DRAFT MTR REPORT 79
APPENDIX I - EVALUATION CONSULTANT AGREEMENT FORM 82

SYNOPSIS

Title of UNDP supported GEF financed project: Sixth Operational Phase of the GEF Small Grants Programme in Sri Lanka (SGP6 Project)

UNDP Project ID: PIMS 5529

GEF Project ID: 9093

Evaluation time frame: 30 November 2016 to 31 March 2019

CEO endorsement date: 18 November 2016

Project implementation start date: 25 January 2017

Project end date: 25 January 2021

Date of evaluation report: 16 June 2019

Region and Countries included in the project: Sri Lanka

GEF Focal Area Objective: SGP: Small Grants Program - Effectively support the creation of global environmental benefits and the safeguarding of the global environment through community and local solutions that complement and add value to national and global level action

Implementing partner and other strategic partners:

Implementing partner: UNOPS

Mid-Term Review team members: Mr. Roland Wong, International Consultant

Acknowledgements:

The Mid-Term Reviewer wishes to acknowledge with gratitude the time and effort expended by all project participants and stakeholders during the course of the SGP6 Project Mid-Term Review. In particular, he wishes to thank the UNDP Sri Lanka, the members of the SGP6 National Steering Committee, and the Country Programme Management Unit of Ms. Dinali Jayasinghe and Mr. Nuwan Perera; your hospitality, passion and sincerity has greatly contributed to his understanding of the complexities of each landscape. He also wishes to thank all the persons met during his missions to the 3 landscapes, namely the Colombo Wetlands, the Knuckles Conservation Forest and the coastal areas from Mannar Island to Jaffna, for their time to show the valuable work that contributes to a better future for Sri Lanka. He sincerely hopes that this report contributes to an accelerated Sri Lanka's transition towards a sustainable future.

EXECUTIVE SUMMARY

This report summarizes the findings of the Midterm Review Mission conducted during the 3-15 March 2019 period for the UNDP-GEF Project entitled: “*Sixth Operational Phase of the GEF Small Grants Programme in Sri Lanka*” (hereby referred to as the SGP6 Project or the Project), that received a US\$ 2,497,078 grant from the Global Environmental Facility (GEF) in November 2016.

Project Information Table

Project Title:	<i>Sixth Operational Phase of the GEF Small Grants Programme in Sri Lanka (SGP6 Project)</i>			
GEF Project ID:	9093		<i>at endorsement (Million US\$)</i>	<i>at Mid-Term (Million US\$)</i>
UNDP Project ID:	5529	GEF financing:	2.497	0.881
Country:	Sri Lanka	IA/EA own:	0.400	0.000
Region:	Asia and the Pacific	Government:	0.700	0.000
Focal Area:	Small Grants Program	Other:	2.100	0.623
FA Objectives, (OP/SP):	SGP: Small Grants Program - Effectively support the creation of global environmental benefits and the safeguarding of the global environment through community and local solutions that complement and add value to national and global level action	Total co-financing:	3.200	0.623
Executing Agency:	UNDP	Total Project Cost:	5.697	1.504
Other Partners involved:	UNOPS	ProDoc Signature (date project began):		25 January 2017
		(Operational) Closing Date:	Proposed: 25 January 2021	Actual: 25 January 2021

Project Description

During Phases 4 and 5 of Sri Lanka’s SGP, a large proportion of grants were provided for biodiversity conservation projects, supporting the importance of Sri Lanka’s commitments to implement its international obligations on biodiversity that can be aided through local initiatives. The genesis of concepts for these grants lie with a process of consultations involving beneficiary communities, non-governmental organizations (NGOs) and the SGP National Steering Committee (NSC). Phase 6 or the SGP6 Project seeks to provide initiatives to mitigate the global environmental degradation of 3 selected landscapes within Sri Lanka including the Knuckles Conservation Forest and its buffer zone, the Coastal Region from Mannar Island to the Jaffna Peninsula, and the Colombo Wetlands. These landscapes are experiencing unimpeded environment degradation caused by:

- weak capacity of communities and their organizations to collectively build resilience of these communities to threats of environmental degradation and climate change;
- lack of available resources to affect necessary changes within these communities to improve their resilience; and
- the absence of effective inputs into these communities to develop strategic community visions, community capacity to implement systematic innovations, and strengthened linkages with other organizations for collective action across the landscape.

To overcome these barriers, SGP6 was setup with a goal to “support the achievement of global environmental benefits through community-based solutions that work in harmony with actions at local, national and global levels” and with the objective to “enable community-based organizations to take collective action for adaptive landscape management for socio-ecological resilience through design, implementation, and evaluation of grant projects for global environmental benefits and local sustainable development in three ecologically sensitive landscapes: the Knuckles Conservation Forest and its buffer zone, the coastal region from Mannar Island to Jaffna, and the Colombo Wetlands”. To achieve this goal and objective, SGP6 was to focus on achieving 4 outcomes:

- Outcome 1: Multi-stakeholder partnerships in three ecologically sensitive landscapes develop and execute management plans to enhance socio-ecological landscape resilience and global environmental benefits;
- Outcome 2: Community-based organizations in landscape level networks build their adaptive management capacities by implementing projects and collaborating in landscape management;
- Outcome 3: Multi-stakeholder partnerships develop and implement strategic projects that catalyze the broader adoption of successful SGP-supported technologies, practices, or systems; and
- Outcome 4: Multi-stakeholder landscape policy platforms discuss potential policy innovations based on analysis of project experience and lessons learned.

Project Progress Summary

Progress of SGP6 in Sri Lanka to date is satisfactory and closely follows the plans laid out in the SGP6 ProDoc. With the completion of landscape-specific typologies for community-level projects and eligibility criteria for grant projects formulated by a diverse group of stakeholders from each landscape, a “positive” mix of stakeholders are working in each landscape to build adaptive management capacities of local communities through implementing SGP supported initiatives. Some of these initiatives have the potential to transform into social enterprises while other initiatives are required to significantly raise the profile of biodiversity and land degradation issues within various communities (Para 83).

The level of collaboration between various NGOs and CSOs for all SGP initiatives has been satisfactory to the extent that replication of some of the SGP initiatives (including strategic projects planned under Outcome 3) can be realized with a caveat that further support will likely be required from other funds such as CSR funds or subsequent SGP operational phases. SGP6 is also making a significant contribution to enhancing livelihoods of women in the beneficiary communities. It is entirely conceivable that SGP6 can achieve reset targets for Outcome 2 (see Para 88) within the expected terminal date of 25 January 2021.

Conclusions

Key issues with regards to Project progress in each of the landscapes includes:

- A number of ecotourism projects may not result in generating tourism-related incomes due to the lack of marketability of these tourism destinations. The inputs of an eco-tourism consultant would be useful to guide development and future investments to attract tourism (Para 84);
- SGP initiatives supporting NGOs that raise awareness of the value of biodiversity in ecological systems are valuable but will require continued support after the conclusion of SGP6 (Paras 84 to 86);
- many of the communities within the Mannar Island-Jaffna Landscape have experienced years of conflict where most of the SGP6 resources are expended with the primary purpose of “community mobilization”, a stage required to build community trust. It is highly likely that further financial resources will be required to technically support pilots and demonstrations after the completion of SGP6 (Para 85);
- SGP initiatives within the jurisdiction of Sri Lanka Land Reclamation and Development Corporation (SLLRDC) and closer to the urban areas of Colombo are experiencing stronger threats from encroachment of urban households and waste, and face higher risks in implementing wetland conservation measures due to delays in complex land ownership arrangements (Para 86).

MTR Ratings and Achievement Summary

Table A: MTR Ratings & Achievement Summary Table for SGP6 Project in Sri Lanka

Measure	MTR Rating ¹	Achievement Description
Project Strategy	Achievement rating: 5	Project strategy is sound, notably in the consideration of the setup of multi-stakeholder committees, formulation of socio-ecological baseline assessments and landscape strategies, implementing several grant projects piloting measures and technologies to conserve biodiversity and promote sustainable land management, implementing strategic projects to facilitate upscaling of successful SGP supported initiatives, and facilitating the formation of multi-stakeholder governance platforms for policy innovations based on SGP initiative project experience that will further promote up-scaling (see Paras 20-23).
Progress Towards Results	Objective Achievement Rating: 5	SGP grants are resulting in CBOs taking collective action in 3 landscapes to meet the targets for sustainably managed production landscapes that conserve biodiversity and enhance ecosystem services, and rehabilitation of degraded lands under sustainable land management practices (Paras 30-31).
	Outcome 1 Achievement Rating: 5	Multi-stakeholder partnerships have been developed for all 3 landscapes along with social ecological baseline assessments and landscape management strategies, and several agreements formalized between CBOs and strategic partners in each landscape to collaborate on community and landscape level projects (Paras 32-37).
	Outcome 2 Achievement Rating: 5	Progress has been achieved towards meeting targets for lands under protection or sustainable use for biodiversity conservation, rehabilitation of degraded wetlands, and land rehabilitated through best practice soil conservation measures. Resetting of Outcome 2 targets, however, will need to be considered (see Paras 38-45).
	Outcome 3 Achievement Rating: 5	Proposals for strategic projects for each of the 3 landscapes are now under consideration to enable and facilitate upscaling of successful SGP supported initiatives. Design of these strategic projects has had the inputs of the local communities involved (Paras 47-49).
	Outcome 4 Achievement Rating: 5	Multi-stakeholder governance platforms have been organized for each of the 3 landscapes with plans to continue convening for information sharing and setting of policies. SGP6 should have a sufficient number of completed projects to be able to prepare one case study per landscape to summarize the best practices and lessons learned from completed SGP6 initiatives, and strengthen these platforms (Paras 50-54).
Project Implementation & Adaptive Management	Achievement rating: 5	Project is being adaptively managed and implemented in a manner that is cost-effective. The PMU has effectively engaged relevant stakeholders (ranging from public and private stakeholders to NGOs, CBOs in CSOs), and is currently recruiting field coordinators for each landscape improve SGP6 monitoring functions. There are some deficiencies in the M&E system (see Paras 64-66)
Sustainability	Sustainability rating: 2	The “moderately unlikely” risk is related to the financial risks related to the lack of diverse sources for continued funding and upscaling of SGP6 initiatives. The current level of identified funding is likely insufficient to carry on many of the ongoing SGP initiatives in all 3 landscapes (see Paras 78-79).

¹ Evaluation rating indices (except sustainability – see Footnote 2, and relevance – see Footnote 3): 6=*Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives; 5=*Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives; 4=*Moderately Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives; 3=*Moderately Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives; 2=*Unsatisfactory (U)* The project has major shortcomings in the achievement of its objectives; 1=*Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

Recommendations

To improve implementation (and increase the probability of meeting targets and sustainable outcomes), SGP6 can:

- Ensure that the services of the eco-tourism consultant being currently recruited strengthen a review of the business plans of eco-tourism grantees and to advise them of the necessary steps required to set up an income generating eco-tourism business;
- Strengthen SGP6 linkages between grantees and business incubators to increase the capacities of grantees to upscale and possibly commercialize their activities into social enterprises such as with Lanka Social Ventures, an organization partnered with the British Council that delivers business incubation training;
- Work with UNDP's BIOFIN Project to diversify the network of possible biodiversity financing partners who can be approached as a response to the lack of an extensive network of financing sources for the scaling up of SGP6 projects;
- Continue strong support for grantees who provide significant efforts to raise awareness of biodiversity;
- Request flexibility of UNDP Regional and GEF for any required extensions of SGP6 from its terminal date of 25 January 2021 in the event there are unforeseen delays (such as the tragic events in Sri Lanka on 21 April 2019) or a slowing of the pace of progress by SGP grantees in delivering their contracted works;
- The selection of the Colombo Landscape strategic grant proposals should give strong consideration to proposals that continue the revival of traditional cultivation on abandoned paddy lands.

See Para 87 for additional details.

To correct Project design, adjustments should be made for area targets for BD and LD in Outcome 2 that can be realistically achieved (see Para 88 for further details).

To improve the monitoring and evaluation of the Project, the CPMU should continue:

- To develop an SGP6 grant project database complete with fields with information on the grantee, their addresses, disbursement levels, description of activities (with less than 100 words), and description of physical progress (which can be closely linked with key performance indicators (such as hectares of land rehabilitated or reforested etc.). Through the use of this database, updating of progress and generation of progress reports will be easier for the CPMU;
- To support the monitoring of indicators that reflect improvements in environmental quality for a particular watershed that may include the monitoring of water or soil quality prior to and after SGP interventions.

See Para 89 for further details.

Recommendations and proposals for future directions underlining main objectives are provided here as lower priority, and should be implemented according to available Project time and resources:

- For strategic grants, priority should be given to proposals where the grantee has the potential to transform their organization into a social enterprise that will also achieve conservation goals of the Small Grants Programme;

- In the preparation of ToRs for grant proposals, the CPMU should recruit and utilize the services of an experienced consultant or internal staff to prepare terms of reference specific in details in the context of how the grants may be seriously considered. This should make it easier for the CPMU to respond to appeals from unsuccessful applicants by having stronger rationale for disqualification of various grant applicants.

See Para 90 for further details.

ABBREVIATIONS

Acronym	Meaning
APR-PIR	Annual Project Report - Project Implementation Review
AWP	Annual Work Plan
BD	Biodiversity
BIOFIN	Biodiversity Financing Project of UNDP
CCM	Climate change mitigation
CCD	Department of Coast Conservation and Coastal Resource Management
CO	UNDP Country Office
COMDEKS	Community Development and Knowledge Management of the Satoyama Initiative
CP	Country Programme
CPAP	Country Programme Action Plan
CPMU	Country Programme Management Unit
CSO	Civil service organization
CSR	Corporate Social Responsibility
DIM	Direct Implementation Modality
EOI	Expression of Interest
EOP	End of project
FY	Fiscal Year
GDP	Gross Domestic Product
GEF	Global Environment Facility
GHG	Green House gas
GoSL	Government of Sri Lanka
INDC	Intended Nationally Determined Contributions
ISTF	International Society of Tropical Foresters
KCF	Knuckles Conservation Forest
LD	Land Degradation
LSV	Lanka Social Ventures
MDG	Millennium Development Goals
MEPA	Marine Environment Protection Authority
MoMDE	Ministry of Mahaweli Development and Environment
MPCLG	Ministry of Provincial Councils and Local Government
MTR	Mid Term Review
M&E	Monitoring and Evaluation
NGO	Non-governmental organization
NIM	National implementation modality
NPC	National Project Coordinator
NSC	National Steering Committee
NTFP	Non-timber forest products
OARM	Aquatic Resources Management (NGO)
OP	Operational Programme
PC	Provincial Council
PIMS	UNDP/GEF Project Information Management System
PPG	Project Preparatory Grant (GEF)
PRF	Project Results Framework
ProDoc	Project Document for SGP6
SEPLS	Socio-ecological production of landscapes and seascapes
SGP	Small Grants Programme
SLEES	Sri Lanka Environmental Exploration Society

Acronym	Meaning
SLLRDC	Sri Lanka Land Reclamation and Development Corporation
SMART	Specific, Measurable, Attainable, Relevant, Time-bound
STAR	System of Transparent Allocation of Resources of the GEF
tCO2	Tonne of Carbon Dioxide
TOR	Terms of Reference
UN	United Nations
UNCBD	United Nations Convention on Biodiversity
UNCCD	United Nations Convention to Combat Desertification
UNDAF	UN Development Assistance Framework
UNFCCC	UN Framework Convention on Climate Change
UNDP	UN Development Programme
UNESCO	United Nations Educational, Scientific, and Cultural Organization
UNOPS	United National Office for Project Services
WTSS	Wanasarana Thurulatha Swechcha Society

1. INTRODUCTION

1. This report summarizes the findings of the Midterm Review (MTR) Mission conducted during 5-15 March 2019 period for the UNDP-supported GEF-financed Project entitled: “**Sixth Operational Phase of the GEF Small Grants Programme in Sri Lanka**” (hereby referred to as the SGP6 Project or the Project) that received a US\$ 2,497,078 grant from the Global Environmental Facility (GEF). The goal of the SGP6 Project is to “support the achievement of global environmental benefits and the protection of the global environment through community and local solutions that work in harmony with local, national and global action”. The objective of the SGP6 Project is to “enable community organizations to take collective action for adaptive landscape management for socio-ecological resilience through design, implementation, and evaluation of grant projects for global environmental benefits and sustainable development in 3 ecologically sensitive landscapes”.

1.1 Purpose of the Mid-Term Review

2. In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP-supported GEF-financed projects are required to undergo a MTR at the mid-point of implementation of a project to provide a comprehensive and systematic account of the performance of an ongoing project by reviewing its design, process of implementation and achievements vis-à-vis GEF project objectives and any agreed changes during project implementation. As such, the MTR for this Project serves to:
 - assess early signs of project success or failure with the goal of identifying the necessary changes to be made to set the Project on-track to achieve its intended results;
 - strengthen the adaptive management and monitoring functions of the Project;
 - enhance the likelihood of achievement of Project and GEF objectives through analyzing Project strengths and weaknesses and suggesting measures for improvement;
 - enable informed decision-making;
 - create the basis for replication of successful Project outcomes achieved to date;
 - identify and validate proposed changes to the SGP6 Project Document (ProDoc) to ensure achievement of all Project objectives; and
 - assess whether it is possible to achieve the objectives in the given timeframe, taking into consideration the pace at which the Project is proceeding.
3. This MTR was prepared to:
 - be undertaken independent of Project management to ensure independent quality assurance;
 - apply UNDP-GEF norms and standards for midterm reviews;
 - assess achievements of outputs and outcomes, likelihood of the sustainability of outcomes, and if the Project met the minimum M&E requirements;
 - provide recommendations to increase the likelihood of the Project delivering all of its intended outputs and achieving intended outcomes.

1.2 Scope and Methodology

4. The scope of the MTR covers the entire UNDP-supported, GEF-financed, UNDP/UNOPS-implemented SGP6 Project and its components as well as the co-financed components of the Project. This MTR

assesses 26 months of Project progress (commencing 25 January 2017), achievements and implementation taking into account the status of Project activities, outputs and the resource disbursements made up to 31 March 2019. The MTR also reports on the progress against objective, outcome, output, activity (including sub-activities) and impact indicators listed in the latest Project Results Framework (PRF) as provided on Appendix E as to how these outcomes and outputs will be achieved within the Project duration (up to 25 January 2021) or with a Project extension. The MTR report concludes with recommendations, as appropriate, for the key stakeholders of the Project. The MTR will be approached through the criteria of *relevance*, *effectiveness*, *efficiency*, *sustainability*, and *impact*, as defined and explained in the UNDP “Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects”, and the GEF M&E policy.

5. The methodology adopted for this MTR includes:

- Review of Project documentation (e.g. APR/PIRs, meeting minutes of Project Steering Committee) and pertinent background information;
- Interviews with key Project personnel including the current Project Coordinator, technical advisors, and Project developers;
- Interviews with relevant stakeholders including other government agencies and institutes and private sector entities as deemed appropriate; and
- Field visits to selected Project sites and interviews with beneficiaries.

A detailed itinerary of the Mission is shown in Appendix B. A full list of people interviewed and documents reviewed are given in Appendix C and Appendix D respectively. The MTR Team for the SGP6 Project was comprised of one international expert.

6. The Project was reviewed in the context of:

- *Project strategy*: This includes an analysis of the SGP6 Project design (and Project Results Framework or PRF) as outlined in the ProDoc to identify if the strategy is effective in achieving the desired outcomes;
- *Progress towards results*: This is to include information provided from, amongst others, Project work plans, Project implementation reports (PIRs), relevant Project reports and information provided from various Project stakeholders;
- *Project implementation and adaptive management*: This would be an assessment of the quality of support to the Project from UNDP, UNOPS (the Implementing Partner of the Project), and the National Steering Committee for SGP6. Assessment parameters would include management arrangements, work planning, finance and co-finance, Project level monitoring and evaluation systems, stakeholder engagement, reporting and communications; and
- *Sustainability*: The likely ability of an intervention to continue to deliver benefits for an extended period of time after the end-of-Project (EOP). The MTR sustainability assessment essentially sets the stage for the Terminal Evaluation during which sustainability will be rated under the four GEF categories of sustainability, namely financial, socioeconomic, institutional framework and governance, and environmental.

7. All possible efforts have been made to minimize the limitations of this independent MTR. SGP6 personnel were tasked with planning field visits to sites representative of the overall quality of SGP6 implementation. At the request of the MTR team, Project personnel were requested to include field

visits to successful as well as less successful projects, the proportion of which was to be decided by the Project. On this basis, the MTR consultant would be able to more accurately assess progress and implementation issues. With a total number of 35 SGP6 grant projects, 14 grant projects or 40% of the entire programme was visited during the MTR mission in March 2019. The grant projects not visited during the MTR mission were difficult to access. Notwithstanding, the 40% sampling of SGP6 projects provides a reasonable indication of the quality of SGP6 progress to date, minimizing the limitations of this MTR.

1.3 Structure of the MTR Report

8. This MTR report is presented as follows:

- An overview of Project activities from commencement of operations in December 2016 to the present activities of the SGP6 Project;
- An assessment of Project strategy;
- An assessment of Project progress towards results;
- An assessment of Project implementation and adaptive management;
- Assessment of sustainability of Project outcomes; and
- Conclusions and recommendations.

9. This MTR report has been structured to meet UNDP-GEF's "Project-level Monitoring: Guidelines for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects" of 2014:

[http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20 EN 2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20EN_2014.pdf)

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

2.1 Development Context

10. The GEF Small Grants Programme (SGP) has been operational since 1995 in Sri Lanka. With over 278 community-led projects implemented over 5 GEF operational phases (1995-2015), the SGP in Sri Lanka has supported biodiversity conservation initiatives, notably with actions to counter the largest threats to overall environmental health to Sri Lanka. This has included buffer zone management of nature reserves, watershed protection, and sustainable agriculture, all actions that have the potential for replication and scale-up through numerous organizations, both local and national.
11. The Sri Lanka SGP has evolved since its early phases in 1995 from a program covering the entire island to the current landscape approach of SGP6. The adoption of the landscape approach was to ensure greater effectiveness and impacts of SGP grant initiatives and designed to facilitate replication and generation of global environmental benefits while sustaining developmental benefits at the local level (that includes enhanced incomes, food security and disaster risk reduction). Moreover, SGP has made efforts to improve the measurability of its results and impacts through capacity building of its partners (mainly CSOs and government agencies). This has included the provision of technical guidance for SGP grant designs, knowledge management, improved project monitoring, and enhanced linkages with organizations with technical expertise to improve grant performance (such as universities, governments and private sector institutes).
12. During Phases 4 and 5 of Sri Lanka's SGP, a large proportion of grants were provided for biodiversity conservation projects, supporting the importance of Sri Lanka's commitments to implement its international obligations on biodiversity that can be aided through local initiatives. The genesis of concepts for these grants lie with a process of consultations involving beneficiary communities, non-governmental organizations (NGOs) and the SGP National Steering Committee (NSC) whose members are listed Appendix C. These consultations were to ensure community-led initiatives fit GEF criteria for generating global environmental benefits while sustaining local level development benefits, especially enhanced incomes, food security and disaster risk reduction. The consultations were also a means of ensuring these initiatives were aligned with national development priorities.

2.2 Problems that SGP6 Seeks to Address

13. The SGP6 Project seeks to provide initiatives to mitigate the global environmental degradation of 3 selected landscapes within Sri Lanka including the Knuckles Conservation Forest and its buffer zone, the Coastal Region from Mannar Island to the Jaffna Peninsula, and the Colombo Wetlands. These landscapes are experiencing unimpeded environment degradation caused by:
 - weak capacity of communities and their organizations to collectively build resilience of these communities to threats of environmental degradation and climate change;
 - lack of available resources to affect necessary changes within these communities to improve their resilience; and
 - the absence of effective inputs into these communities to develop strategic community visions, community capacity to implement systematic innovations, and strengthened their linkages with other organizations for collective action across the landscape.

2.3 SGP6 Project Description and Strategy

14. The goal of SGP6 is to “support the achievement of global environmental benefits through community-based solutions that work in harmony with actions at local, national and global levels”. The objective of SGP6 is to “enable community-based organizations to take collective action for adaptive landscape management for socio-ecological resilience through design, implementation, and evaluation of grant projects for global environmental benefits and local sustainable development in three ecologically sensitive landscapes: the Knuckles Conservation Forest and its buffer zone, the coastal region from Mannar Island to Jaffna, and the Colombo Wetlands”.
15. The SGP6 goal and objective was to be achieved with a focus on 4 major components designed to produce outputs that will contribute to the realization of the following outcomes:
- Outcome 1: Multi-stakeholder partnerships in three ecologically sensitive landscapes develop and execute management plans to enhance socio-ecological landscape resilience and global environmental benefits;
 - Outcome 2: Community-based organizations in landscape level networks build their adaptive management capacities by implementing projects and collaborating in landscape management;
 - Outcome 3: Multi-stakeholder partnerships develop and implement strategic projects that catalyze the broader adoption of successful SGP-supported technologies, practices, or systems;
 - Outcome 4: Multi-stakeholder landscape policy platforms discuss potential policy innovations based on analysis of project experience and lessons learned.

2.4 SGP6 Project Implementation Arrangements

16. Management arrangements for SGP6 are illustrated on Figure 1. The SGP6 execution is undertaken by a Colombo-based Country Programme Management Unit (CPMU) with support from UNOPS for financial management and administration, UNDP for SGP6 oversight, and the NSC for grant criteria and approvals. These implementation arrangements reflect standard SGP Operational Guidelines. Implementation arrangements are further discussed in Para 56.

Figure 1: SGP 6 organizational structure (from ProDoc)



2.5 SGP6 Project Timing and Milestones

17. SGP6 commenced on 25 January 2017 and was designed as a 4-year project, terminating on 25 January 2021. While the ProDoc does not provide any milestones for the first half of SGP6, the budget and work plan in Section D.4 in the ProDoc indicates the expenditure of 61% of the SGP budget after Year 2 or the midway point of SGP 6.

2.6 Main Stakeholders

18. To achieve the specific SGP6 objective *“enable community-based organizations to take collective action for adaptive landscape management for socio-ecological resilience through design, implementation, and evaluation of grant projects for global environmental benefits and local sustainable development in three ecologically sensitive landscapes....”*, SGP6 has been required to engage a diverse range of stakeholders including:
- community-based organizations (CBOs) and local communities in the three landscapes who will receive grants to produce benefits to local sustainable development and the global environment and ultimately improve the resilience of their communities and landscapes;
 - NGOs that have led and facilitated participatory baseline assessments and landscape planning processes, serve as partners in multi-stakeholder partnerships for each landscape, provide technical assistance to CBOs to implement their projects and participate on policy platforms;
 - the Ministry of Mahaweli Development and Environment (MoMDE) with the mandate to formulate policies that promote sustainable environmental management of natural resources. MoMDE is also the National Focal point for UNFCCC, and the operational focal point for GEF in Sri Lanka. This would also include MoMDE’s Climate Change Secretariat (CCS) who have oversight on the adoption of a comprehensive national approach to addressing climate change challenges of Sri Lanka;
 - the Department of Agriculture (in particular, the Natural Resource Management Centre, the Registrar of Pesticides, the Department of Agrarian Services, and Department of Irrigation);
 - the Ministry of Provincial Councils and Local Government (MPCLG) who have the responsibility for policy and legislation and oversight of Provincial Councils and Provincial MoMDE;
 - private sector who serve as partners in multi-stakeholder partnerships for each landscape; and
 - academic institutions who can also provide assistance in participatory baseline assessments and landscape planning processes (similar to NGOs).
19. The ProDoc also singles out stakeholder groups that are important to the inclusiveness of the benefits generated by SGP grants:
- indigenous peoples due to their often marginalized status notwithstanding their deeply rooted cultural, political, and territorial rights;
 - females at project sites as a means of supporting gender equity aspects that would allow women and men to participate and benefit from SGP6 activities equitably. This was to be accomplished through capacity building and the strengthening of a network of women’s groups to build their self-confidence, take leadership roles, and participate in local level decision making processes;
 - community youth, many of whom have migrated from these landscapes to cities for employment opportunities. SGP6 activities were designed to create sustainable livelihood opportunities within these communities to reverse this migration.

Stakeholder engagement is further discussed in Section 3.3.5.

3. FINDINGS

3.1 Project Strategy

20. Design of SGP6 was intended to mitigate unimpeded environmental degradation through the opportunity to “enhance social and ecological resilience through community-based, community-driven projects to conserve biodiversity, optimize ecosystem services, manage land (particularly agro-ecosystems) and water sustainably, and mitigate climate change” in 3 landscapes with significant biodiversity aspects that are under threat: i) the Knuckles Conservation Forest (KCF) and its buffer zones; ii) the coastal region from Mannar Island to Jaffna; and iii) the urban wetlands of Colombo. To maximize its effectiveness, SGP6 was designed to be carried out through a landscape planning and management approach of the Community Development and Knowledge Management of the Satoyama Initiative (COMDEKS) that involves multi-stakeholder and participatory consultations. Through the COMDEKS process, capacities of communities within a particular landscape could be strengthened to enable them to generate global environmental benefits by developing projects that enhance community-based social networks, increase fiscal and natural resource availability, and strengthen their ecological resilience from unsustainable environmental management practices. By focusing on a particular landscape, the number of communities to be strengthened could be scaled up using similar methods within a particular landscape to enhance social and ecological resilience.

3.1.1 Project Design

21. The design of SGP6 was designed to overcome 4 barriers to the successful development and implementation of adaptive landscape management strategies that build social, economic and ecological resilience driven by the need for sustained production of global environmental and local sustainable development benefits:

- Community-based organizations (CBOs) have limited capacities to develop and implement landscape management plans and to collect and disseminate lessons learned from the experience;
- All stakeholders do not effectively coordinate;
- CBOs have limited financial resources; and
- Lack of environmental awareness.

22. Three distinct landscape planning and management processes were to be piloted under SGP6. Using lessons learned from previous SGP projects in Sri Lanka and from COMDEKS experiences, SGP6 was to assist CBOs in implementing their landscape plans and strategies to generate sustained global environment of benefits as well as local sustainable development benefits that can be scaled up over the duration of SGP6. By working with CBOs and local communities, communities will be enabled to identify their own issues and needs, and implement strategies utilizing SGP6 resources to implement COMDEKS approaches with beneficiary communities through learning-by-doing and adaptive management. By working through a landscape approach, communities within one landscape will be able to learn from each other through networking events, and common scaling up efforts.

23. The SGP6 Project formulation process involved extensive community consultations with all relevant Government agencies, and an agreed COMDEKS approach to determine what

interventions would be required for each landscape to meet the goal and objective of SGP6. The design of SGP6 did involve structured community consultations which entailed discussions on indicators of resilience in “socio-ecological production of landscapes and seascapes” (SEPLS), followed by landscape development strategies that were spearheaded by landscape strategy development teams recruited by the CPMU of SGP6². These strategies would be used as guidance for the NSC of SGP6 in the screening, selection and approval of community grants from SGP6 resources to support Outcomes 2 and 3. Implementation of these grant projects in Outcomes 2 and 3 would then support community capacity development, facilitation of learning through actual implementation, followed by SGP6 activities in Outcome 4 to support upscaling through policy development at both the local and national levels.

24. The landscapes chosen for SGP6 were based on government priorities that encompass their vision for development that also addresses biodiversity, climate change and land degradation issues of global conventions of the UNCBD, UNFCCC and the UNCCD respectively under which Sri Lanka are signatories. Each of these landscapes:
- have evidence of continuous declines in biodiversity exacerbated by increased human animal conflicts, encroachments towards and fragmentation of sensitive ecosystems and habitats, ad hoc development efforts, increases in poverty within and the migration of youth communities from these landscapes;
 - are vulnerable to climate change exacerbated by increasing climate variations that affect timely water availability, increases in the presence of invasive species, and increased exposure of local agricultural communities to variations in food productivity resulting in decreased food security;
 - show increases in poverty incidences exacerbated by land degradation, decreased livelihood opportunities for women, and a lack of proper market facilities for the sale of local products.
25. One of the landscapes chosen for SGP6 is the Knuckles Conservation Forest (KCF) landscape and its buffer zone located to the northeast of Kandy, the second largest city in Sri Lanka. Though this landscape covers only a small fraction of Sri Lanka’s high elevation territory, the KCF possesses considerable altitudinal variations, and a wide variety of climatic regimes creating partitioned habitats and resulting in some of Sri Lanka’s highest levels of biodiversity; this is reflected in the declaration of the Knuckles Mountain range as a UNESCO World Heritage Site in 2011. The primary threat to the KCF landscape is encroachment of surrounding human settlements, and unsustainable practices of natural resource extraction and agriculture. With global warming, forest fires have also become a significant threat to this landscape. Tourism has also increased to the landscape leading to an uncontrolled number of tourism resorts being constructed within sensitive ecosystems, and emerging as a serious threat to the biodiversity of the KCF landscape.
26. A second landscape chosen for SGP6 is the coastal region between Mannar Island and Jaffna. Located in a dry climatic zone, this landscape also has a diversity of habitats related to estuaries, mud flats, mangrove swamps, salt marshes and coral reefs. This diversity supports significant biodiversity that includes a large number of migratory bird species, many of which are classified as endangered. For local communities within this landscape, the biodiversity provides valuable

² Landscape strategies were spearheaded by the Environmental Foundation (Guarantee) Limited for the Knuckles Landscape, the University of Colombo for the Urban Wetlands of Colombo Landscape, and the Centre for Environmental Studies, University of Peradeniya for the Coastal Region between Mannar Island and Jaffna.

ecosystem services for food, fuel wood, flood control, prevention of soil erosion, and recreation. The landscape has been degraded due to conflicts over the past 30 years, the use of landmines that have damaged terrestrial ecosystems, and the significant displacement and resettlement of local communities that have adversely affected agricultural and irrigation development. This problem has been exacerbated by climate change, limited water availability within the landscape, communities driven towards unsustainable and environmentally damaging practices for water extraction, unsustainable harvesting of forests, overfishing, overgrazing of livestock, and the proliferation of invasive vegetative species.

27. The third and final landscape of SGP6 are the urban wetlands of Colombo located in the Colombo Administrative District. Amidst the urban sprawl of Colombo city, there are a number of wetlands that support important ecosystem services including rice cultivation, cultivation of vegetables, poultry production and fish harvesting. These wetlands also serve as habitat to a significant number of vegetation types (ranging from grasslands, to streambanks, mangrove forests and marshes), and over 200 species of vertebrate fauna. Notwithstanding their importance, these wetlands are under numerous threats related to urban pollution, siltation from development, waste disposal, agricultural runoff, spread of monoculture, unauthorized encroachment, and salinity intrusion within coastal areas. Climate change also remains a threat to these wetlands with the landscape that experiences reduced precipitation, drying up of local streams and salt marshes, and a consequential reduction of wildlife.

3.1.2 Analysis of Project Results Framework

28. The quality of the Project Results Framework (PRF) of the SGP6 is **satisfactory**. The SGP6 PRF meets “SMART” criteria³. The PRF from the ProDoc which has been used as the basis for progress monitoring in the Project’s project implementation reports (PIRs), is assessed as follows:
 - All indicators provide a clear description (with an economy of words) of the intended target by the end-of-project (EOP). No midterm targets were set in the PRF. The simplicity of the indicators provides clarity to the CPMU in terms of the activities to be monitored and targets to be reached;
 - Achievement of the targets are linked to critical activities and delivery of outputs (that are contained within the “sources of verification”) within each component that would lead to the intended outcome of that component;
 - Proper language has been used to describe the outcomes, Project objective and Project goal. None of the described outcomes, objective or goal of the Project can be confused with an output;
 - The column on “risks and assumptions” appears reasonably complete. Moreover, these assumptions serve as a good basis for identification of Project risks for entry into the Project risk log. Many of the critical assumptions are related to the reasons for unimpeded environmental degradation mentioned in Para 13 and barriers mentioned in Para 21.

³ Specific, Measurable, Attainable, Relevant, Time-bound

3.2 Progress towards Results

3.2.1 Progress towards Outcome Analysis

29. Progress towards results is provided on Table 1 against the EOP targets in the SGP6 PRF. Comments on some of the ratings are provided in the following paragraphs. For Table 1, the “achievement rating” is color-coded according to the following scheme:

Green: Completed, indicator shows successful achievements	Yellow: Indicator shows expected completion by the EOP	Red: Indicator shows poor achievement – unlikely to be completed by project closure
---	--	---

Project goal and objective level targets:

30. To meet the Project objective, SGP6 progress can be summarized as follows:

- Over 40,000 ha under biodiversity conservation or mitigation of land degradation across 3 landscapes, which includes 35 grant projects under Outcome 2 that are currently approved for implementation commencing in May 2018. Strategic projects under Outcome 3 are expected to be approved for implementation in May 2019;
 - The area of land that conserves biodiversity is estimated to be 26,000 ha, 6000 ha over the 20,000 ha target. Areas of land under sustainable land management (SLM) are estimated to be 10,000 ha, 5000 ha short of the 15,000 ha target. These lands were mainly achieved from the Knuckles Landscape;
 - Despite a good response from CBOs and NGOs to calls for proposals on sustainable land management and biodiversity conservation, the sum total of number of hectares proposed is not sufficient to meet specific biodiversity and land degradation targets of Outcome 2. This is further discussed in Para 38 to 45;
 - Each landscape has catered to over 250 individuals totaling over 750 individuals as an aggregate in all 3 landscapes to date.
31. The MTR rating of progress towards the SGP6 objective is **satisfactory** in view of the ongoing efforts to implement these pilot grant projects and address technical shortcomings (see Paras 47-48 under Outcome 3 for further details).

Outcome 1 targets:

32. To date, the Project has been active in facilitating the development of plans for the enhancement of social-ecological landscape resilience and global environmental benefits. This includes:
- 3 multi-stakeholder working groups that have been formed in the 3 landscapes. The multi-stakeholder working groups of each landscape comprise the nominee of the District Secretary’s office, academia, relevant government stakeholders and civil society. These stakeholders have been an important and integral part of the project, and have also been instrumental in advising on key socio-environmental challenges of the landscape, while also providing guidance for the 3 strategic projects (for Outcome 3);

Table 1: SGP6 progress towards PRF (achievement of outcomes against EOP Targets)

Project Strategy	Indicator	Baseline Level	End-of-Project Target	Midterm Level and Assessment	Achievement Rating	Justification for Rating
Objective: To enable community-based organizations to take collective action for adaptive landscape management for socio-ecological resilience through design, implementation, and evaluation of grant projects for global environmental benefits and local sustainable development in 3 ecologically sensitive landscapes: the KCF and its buffer zone, the coastal region from Mannar Island to Jaffna, and the Colombo Wetlands	Area across 3 landscapes of sustainably managed production landscapes that conserve biodiversity and enhance ecosystem services	Socioeconomic activities in the 3 landscapes lead to degraded habitats including deterioration of ecosystem quality, increased the risk of desertification, and increased risk of communities to the impacts of climate change	At least 20,000 ha across 3 production landscapes of sustainably managed production landscapes that conserve biodiversity and enhance ecosystem services including 650 ha of forest for carbon storage.	28,000 hectares (target 20,000 ha) across three production landscapes, of sustainably managed production landscapes that conserve biodiversity and enhance ecosystem services.		See Para 30
	Area of degraded lands in 3 project landscapes that are benefiting from land rehabilitation activities	Landscapes have benefited from small grant projects. In the 3 landscapes projects have not been as extensive or strategically coordinated to achieve landscape synergies and impacts.	At least 15,000 ha of degraded lands in 3 project landscapes under sustainable land management benefiting from land rehabilitation activities.	10,000 hectares (target 15,000 ha) of degraded lands in 3 project landscapes under sustainable land management benefitting from land rehabilitation activities.		See Para 30
	Number of stakeholders actively engaged in and benefiting from local project activities	A number of awareness raising activities have either been implemented or are underway but these are not organized as a coherent landscape strategy program	At least 250 individuals in each of the 3 landscapes actively participating and benefiting from local field-based project activities.	>250 individuals in each of the three landscapes actively participating and benefitting from local field-based project activities.		See Para 30
Outcome 1: Multi-stakeholder partnerships in 3 ecologically sensitive landscapes develop and execute management plans	A multi-stakeholder group on landscape planning and management organized for each of	Networks of civil society associations, CBOs and NGOs were organized under the GEF 5 SGP but not in	One multi-stakeholder working group per landscape is operational with agreed ToRs (3)	One multi-stakeholder working group operational in each of the 3 landscapes		See Para 32

Project Strategy	Indicator	Baseline Level	End-of-Project Target	Midterm Level and Assessment	Achievement Rating	Justification for Rating
to enhance socio-ecological landscape resilience and global environmental benefits	the selected landscapes	the project landscapes and they no longer convene.				
	A strategy to achieve greater social and ecological resistance for each landscape	Experts and other specialists are available to provide <i>ad hoc</i> support to local initiatives but will require an institutional mechanism and remuneration	One comprehensive socio-ecological baseline assessment for each landscape (3) 3 landscape management strategies and plans prepared and then approved by the NSC	Comprehensive socio-ecological baseline assessment completed for each of the 3 landscapes along with landscape management strategies and plans		See Para 32
	A typology of community level initiatives needed to achieve landscape outcomes		Landscape specific typologies (3) of community level projects and eligibility criteria formulated by multi-stakeholder groups in each landscape	Typologies of projects for the three landscapes were developed and used in the call for proposals for the three landscapes		See Paras 33 and 34
	Formal cooperative agreements between community organizations and other partners in each landscape to pursue outcomes of each strategy through community and landscape level projects		At least 10 signed formal agreements between community organizations and other partners in each landscape to pursue the outcomes of each strategy through community and landscape level projects	18 agreements are in the progress of being formalized between CBOs and other partners in each landscape to collaborate on landscape strategy through community and landscape level projects		See Paras 35 and 36
Outcome 2: Community-based organizations in landscape level networks build their adaptive management capacities by implementing projects and collaborating in landscape management.	Area under protection or sustainable use for biodiversity conservation or improved ecosystem function	Procedures under GEF 5 SGP are known at the national level but less known in the new targeted landscapes and communities. 50 civil society associations, CBOs	At least 10,000 ha under protection or sustainable use for biodiversity conservation or improved ecosystem function - community conservation areas, ecotourism development, NTFPs, human animal conflicts, etc.	26,000 ha under protection or sustainable use for BD conservation or improved ecosystem function		See Para 38

Project Strategy	Indicator	Baseline Level	End-of-Project Target	Midterm Level and Assessment	Achievement Rating	Justification for Rating
	Area of reforested and/or afforested land	and other NGOs benefited from grant under SGP 5 but were scattered throughout Sri Lanka and their individual objectives and interventions were not strategically coordinated with each other.	At least 10,000 ha under reforestation or farmer-managed natural regeneration	2,000 ha under reforestation or farmer managed natural regeneration		See Para 39
	Area of degraded wetlands rehabilitated		At least 3,000 ha of degraded wetlands rehabilitated	6,000 ha of wetland rehab		See Para 40
	Area of forest cover lands set aside for carbon sequestration		At least 650 ha of forest cover lands set aside for carbon sequestration leading to mitigation of at least 25,000 metric tonnes of CO ₂ .	Ongoing discussions with the UK-based private entity to set aside 100 ha of forest for carbon sequestration		See Para 41
	Area of land rehabilitated through best practice soil conservation measures		At least 2,000 ha of land rehabilitated through best practice soil conservation measures and agroforestry.	2,000 ha of best practice soil conservation measures		See Para 42
	Area of land under improved grazing regimes		At least 2,000 ha under improved grazing regimes	0 ha under improved grazing regimes		See Para 43
	Area of agricultural land under Agro ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources		At least 8,000 ha of agricultural land under Agro ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources.	2,000 ha in agricultural land under agro-ecological practices		See Para 44
	Number of individuals in the communities that have benefited from new sustainable alternative livelihood options		At least 200 individuals in communities have benefited from new sustainable alternative livelihood options.	Over 300 individuals per landscape are expected to benefit from the projects through alternative livelihood options		See Para 45
Outcome 3: Multi-stakeholder partnerships	Number of strategic projects supporting		Local development activities receive ad	3 strategic projects to enable and facilitate	3 strategic projects now under	

Project Strategy	Indicator	Baseline Level	End-of-Project Target	Midterm Level and Assessment	Achievement Rating	Justification for Rating
develop and implement projects that catalyse the adoption of successful SGP supported technologies, practices or systems	broader adoption of successful small grant project lessons	<p>hoc support from an informal network of local NGOs and CBO's in the project landscapes</p> <p>Better practices and lessons have been learned from GEF SGP 5</p>	upscaling of successful SGP supported initiatives; production, marketing and sale of underutilized crops or crop varieties; and value addition to products harvested sustainably from wetlands or forests.	consideration to enable and facilitate upscaling of successful SGP-supported initiatives		
	Number of community members in each of the 3 landscapes who have participated in the design and implementation of their respective scaling up strategic project	No attempts at stimulating broader adoption of small grant successes from the SGP 5 programme.	At least 250 local community representatives in each of the 3 landscapes have participated in the design and implementation of the scaling up strategic project.	>250 local community representatives in each of the three landscapes will be involved in the design and implementation of the scaling-up strategic project		See Para 48
Outcome 4: Multi-stakeholder landscape policy platforms will discuss potential policy innovations based on analysis of project experience and lessons learned	Existence of operational multi-stakeholder governance platforms in 3 landscapes including local and higher levels of government, NGOs, academics, 2 nd level organizations and others	Mainstreaming of lessons learned and best practices of small grant projects under SGP 5 was pursued through awareness raising activities and not institutionalized as a formal mechanism with line ministries and agencies	3 multi-stakeholder governance platforms have convened at least twice annually and are institutionalized formal agreements at the District and Division levels to ensure post-project continuance of their services	Three (3) multi-stakeholder governance platforms have been organized with plans to continue to convene in future		See Paras 50-52
	Number of case studies summarizing lessons learned and best practices, based on evaluation of implementation results at the landscape level.	Lessons learned from SGP 5 have been promoted through brochures, booklets and ad hoc presentations in country but there is no specific	At least one case study per target landscape summarizing lessons learned and best practices, based on evaluation of implementation results	One case study per target landscape summarizing lessons learned and best practices will be prepared in 2020		See Para 53

Project Strategy	Indicator	Baseline Level	End-of-Project Target	Midterm Level and Assessment	Achievement Rating	Justification for Rating
	Awareness and knowledge of best practices promoted through knowledge sharing events and capacity building activities	communication strategy or plan for long-term promotion of best practices	At least 500 project stakeholder participants have actively engaged in analysis of project experience and landscape management and have participated in platform workshops and dialogues Communication strategy is developed and operational	Communication strategy will be developed and operational in 2020		

- 3 comprehensive socio-ecological baseline assessments completed for each landscape during the period of November to December 2017 using a developed set of 20 SEPLS indicators of resilience from the Satoyama Initiative and piloted under the COMDEKS programme;
 - 3 landscape management strategies that were prepared by 3 SGP grantees, and reviewed and approved by the SGP NSC in December 2017, one in each of the three landscapes. These landscape management strategies also received inputs from key strategic stakeholders, beneficiary communities, and were analysed through extensive research and analysis through an SEPLS indicator lens. The main actions coming from the strategies included protection and restoration of sensitive ecosystems and habitats, preventing further degradation of natural resources, promoting sustainable land use practices to preserve and enhance agro-biodiversity and productivity, improving livelihoods through eco-friendly community-based enterprises, and enhancing knowledge and capacity of the community and local institutions to increase resilience. These documents are available on the SGP Sri Lanka website⁴;
 - development of project typologies for the 3 landscapes including restoration of degraded lands, promotion of agro forestry and agriculture, protection of wetlands, water conservation and improved livelihoods. These typologies were determined using the baseline assessments of the 3 landscape strategies:
 - For the Knuckles Landscape, grant projects were to be considered for the restoration of degraded lands, promotion of agro-forestry, controlling of the spread of invasive species, and soil conservation;
 - In the Colombo Landscape, grant projects to be considered include conservation of isolated wetlands, minimizing animal-human conflict, and establishing a knowledge sharing platform related to Colombo Wetlands; and
 - For Mannar Island-Jaffna Landscape, grant projects to be considered include protection of mangroves, conservation of salt marshes, minimizing disruptive fishing activities, and water conservation.
33. The process for soliciting proposals from CBOs/NGOs working in the three landscapes commenced in October 2017 with a request for Expressions of Interest (EOI); over 119 eligible EOIs were received. All CBOs/NGOs submitting EOIs were invited to a workshop on 2 February 2018 in Kurunegala for an introduction to the GEF-6 program, its aims and objectives, selected landscapes where conservation activities will be focused on, GEF focal areas, typologies of projects in each landscape, and a brief training on the logical frameworks.
34. On developing project typologies, CBOs/NGOs working in the 3 landscapes sent 88 project concepts which were rated by the NSC after field visits in early 2018. Over 30 concepts were recommended to the NSC with 18 being initially approved (8 in Colombo, 5 in Knuckles, and 5 in Mannar) for implementation in September 2018. One of the less positive impacts of this process was high number of proposals submitted and the consequential low probability of success for CBOs and NGOs submitting proposals. With an appeals process in place within SGP6 for unsuccessful applicants, the CPMU has had to expend considerable effort in addressing these appeals. This is further discussed in Paras 67 and 88.
35. There are currently 27 signed formal agreements (18 from the first round and another 9 in the second round⁵) between CBOs and other partners in each landscape to pursue the intended outcomes of

⁴ <http://www.gefsgpsl.org/GEF-SGP-OPERATIONAL-PHASE%2006English.aspx>

⁵ The second round of formal agreements consisted of 7 from Knuckles, and 1 each from Mannar and Colombo

each strategy through community and landscape level projects. All 18 approved concepts mentioned in Para 34 have all secured co-financing by other stakeholders in the landscape. The distribution of US\$623,465 co-financing per landscape (as of April 2019) is broken down as follows:

- Knuckles: Cash - US\$ 126,245, In-kind - US\$ 189,935;
- Colombo: Cash - US\$ 189,996, In-kind - US\$ 56,210;
- Mannar: Cash - US\$ 44,180, In-Kind - US\$ 16,899.

36. Examples of formal agreements that have been signed with co-financing agreements with other partners includes:

- The Zoological Student Association (M-15) has secured matching funds from MAS Private Ltd, a private sector company in Jaffna;
- The Turtle Conservation Project (M-5) has a co-financing agreement with US-based company, Columbus Zee;
- The Herpetological Association of Sri Lanka (K-20) has received co-financing of the US\$12,354 from the Commercial Bank of Ceylon in cash for their work within the KCF;
- The Centre for Sustainability-University of Sri Jayawardenapura (C-23) has secured co-financing of US\$ 12,635 from MAS Holdings (Pvt) Ltd with the grantee also committing a considerable sum of cash and in-kind contribution for their Colombo wetlands project;
- Wanasarana Thurulatha Voluntary Society (WTSS) (C-5) has secured US\$ 6,500 co-financing from Ecotherm Energy Solutions for their work in the Colombo wetlands.

37. The MTR rating of progress towards the SGP6 Outcome 1 is **satisfactory** in view of the outstanding and ongoing efforts to convene all relevant stakeholders for their agreement on landscape management strategies based on baseline socio-ecological assessments.

Outcome 2 targets:

38. SGP grants are currently being implemented by over 16 CBOs/NGOs carrying out 16 projects that protect or promote sustainable use for biodiversity conservation or improved ecosystem functions covering an estimated 26,000 ha within the 3 landscapes. These initiatives include:

- coral reef and associated reef improvement and improvement of eco-tourism activities over a 1,000 ha area within the Mannar Island-Jaffna Landscape;
- rehabilitation of mangrove clusters along coastline of Maldiva to protect corals under threat from illegal fishing practices and to conserve sea turtles endangered from poaching activities;
- enhancing ecotourism development in Colombo city through biodiversity and ecosystem services, wetland conservation and improvement, conservation and improvement of lakes and streams, and attaining designation of Colombo as the first metropolitan wetland city in Asia;
- ecotourism development of areas of tourist attractions (such as conserved forests and waterfalls) in the KCF;
- identification of endemic and red listed fauna over a 10,500 ha area in the KCF that has led to government protection of their habitat as well as halting developments that adversely impact their habitats.

39. An estimated 2,000 ha of reforestation activities are being carried out by 8 organizations in the 3 landscapes, with more than 1,500 ha in the Knuckles Landscape through 3 projects, over 200 ha in the Mannar Landscape through 3 projects, and 7 ha through 2 projects in the Colombo Landscape. While there have been several reforestation proposals received, the areas of these proposals have not been sufficiently large to reach the target of 10,000 ha. Furthermore, it is likely that further additions to the reforested activities would not be forthcoming with the strategic projects under Outcome 3. As such, the target of 10,000 ha for reforestation needs to be reconsidered (see Para 87 as a follow-up).
40. There is an estimated 6,000 ha of wetland rehabilitation underway through SGP initiatives comprised of 7 projects mainly within the Colombo Landscape (with over 4,500 ha) and Mannar Island-Jaffna Landscape (over 1,000 ha). Activities include:
- revival of local rice cultivation in abandoned paddy fields in the Colombo Landscape that would have the impact of restoring urban wetlands;
 - rehabilitation of flood mitigation functions of marshes and water tanks in Colombo;
 - development of an arboretum of native wetland plant species for the Mannar Island-Jaffna Landscape that will be used to rehabilitate mangroves within the landscape.
41. Targets for forest set aside for carbon sequestration was expected to be carried out on a government-owned, abandoned tea plantation estate. This particular project, however, was no longer eligible for SGP support when the project was sold to a private entity for commercial purposes. There are currently ongoing discussions between the CPMU and a private UK-based entity for the securing of forests within the Knuckles Landscape for the purposes of carbon sequestration. If these discussions lead to an agreement, achievement of the target of 650 ha of forest cover set aside for carbon sequestration appear realistic. The target for forest carbon sequestration, however, can be revised downwards by the CPMU if deemed appropriate as further discussed in Para 87.
42. Land rehabilitation activities are being carried out on an estimated 2,000 ha within 6 projects of which an estimated 1,500 ha are within the Knuckles Landscape and 500 ha within the Colombo Landscape including:
- projects in the Knuckles Landscape address human-animal conflicts in agricultural areas;
 - eco-tourism and livelihood developments being promoted in 3 villages, along with enhanced ecosystem services in the Theligamu river, a highly sensitive catchment area in the Knuckles Landscape;
 - agro-forestry initiatives and organic vegetable cultivation being conducted in Thalangama in the Colombo Landscape;
 - additional areas of land rehabilitation are expected from strategic projects under Outcome 3.
43. With regards to meeting the target of 2,000 ha under improved grazing regimes, which would mainly be located in the Mannar Island to Jaffna Landscape, no proposals have been received from local CBOs/NGOs to meet this target. With a strong likelihood that no more proposals of this type would be received, this target needs to be reconsidered (see Para 87 as a follow-up).
44. The promotion of agro-ecological practices is mainly within 2,000 ha within the Colombo and Knuckles landscapes. There are 4 projects in the Knuckles Landscape covering 900 ha, and 3 projects in the Colombo Landscape covering more than 1,000 ha that are dedicated to increase the

sustainability, productivity and conservation of crop genetic resources. These activities are being implemented within 75 homes in Knuckles, with the cultivation of organic traditional paddy and conservation of water fronts for sustainability and productivity activities within the Colombo Landscape. While the strategic grant will increase the 2,000 ha achievement of this target, the 8,000 ha target is likely not achievable considering the number of homes that would need to be contacted. As such, the target of 8,000 ha for agricultural land under agro-ecological practices should be revised downwards to a realistic target (see Para 87).

45. SGP grants thus far have benefited 313 individuals in the communities of the 3 landscapes, against a target of 200. Ongoing SGP activities for enhanced livelihood options are mainly focused on farming and eco-tourism related occupations, such as tour guides, handicrafts and traditional art, nature trail activities.
46. The MTR rating of progress towards the SGP6 Outcome 2 is **satisfactory** in view of the progress made by SGP grantees and relevant stakeholders to implement 35 projects on landscape management strategies.

Outcome 3 targets:

47. Targets within Outcome 3 have been designed to further consolidate the positive outcomes and lessons learned from grant projects implemented under Outcome 2. The design of SGP6 has included actions to further enable CBOs to take collective action on the most promising aspects of the 3 landscape strategies. To this end, the Strategic Projects of SGP6 were proposed as grant projects with a higher ceiling up to US\$90,000 (as opposed to the Outcome 2 grants with the ceiling of US\$50,000). Criteria for the selection of OP6 Strategic Projects was prepared including proposals that:
 - create more significant impacts and closer links between local initiatives and global environmental benefits through supporting these initiatives over a wider geographical area (that has had a history of SGP support) and has the potential for the consolidation of policy improvements;
 - provide further improvements to the capacities of local NGOs, CSOs and communities to replicate successful approaches;
 - have potential for improving the capacity of SGP6 and its partners to leverage larger financing from other donors;
 - can scale up successful approaches that utilize other financial instruments and innovative financing schemes that may include revolving funds, payment for ecosystem services, and green loans; and
 - include business plans for collaboration with the private sector and the government to enhance the sustainability of the strategic project.
48. With the methodology of Strategic Projects having been established along with the completion of 3 projects from the 4 SGP publications (and over an estimated 80 case studies of successful SGP projects), proposals for Strategic Projects were solicited in May 2018. This involved an initial short-listing of the three best strategic concepts, consultations with multi-stakeholder groups for their feedback and inputs into the design of these projects (over 250 persons), presentation of 3 concepts (for the 3 landscapes) to the NSC in mid-2018, and a request for proposals of these key concepts from mature SGP grantees (including those who have participated in previous SGP OPs). Multi-

stakeholder consultations for the 3 landscapes included consultations with 6 to 8 individuals with specialized knowledge of these landscapes who identified key needs for each landscape that should be further developed within the strategic projects. Examples included:

- the Colombo Landscape needing to work on networking all existing wetlands as a means of biodiversity management in an urban area, a focus on expanding existing project activities, and strengthening an integrated wetland approach;
- the Knuckles Landscape that required strengthening of its approaches to soil conservation and minimizing sedimentation of reservoirs, arresting land degradation, and promoting agro-biodiversity;
- the Mannar Island-Jaffna Landscape needing to mitigate water shortages through soil conservation, agro-ecology, rainwater harvesting and land rehabilitation from damage caused by overgrazing and over farming.

49. The MTR rating of progress towards the SGP6 Outcome 3 is **satisfactory** in view of the multiple proposals that are being evaluated for each of the 3 landscapes by the SGP6 NSC. The selection of successful proposals was expected in May 2019 leaving project proponents to implement strategic projects within the 18 months remaining on SGP6.

Outcome 4 targets:

50. With nearly 35 grant projects currently underway at the time of this MTR, the CPMU has been active in close consultation with the NSC in setting up multi-stakeholder policy platforms involving senior government officials to increase the likelihood of sustaining the continuation of post-project services. In early 2019, communication lines between SGP6 and the national government through the MoMDE headed by the President of Sri Lanka, were established for a planned event to showcase SGP project initiatives and encouraging government involvement with SGP6 initiatives after the EOP.
51. In the setup of these multi-stakeholder landscape policy platforms based on SGP6 grant project results, there have been a number of activities implemented to date including:
- A UNDP co-financed training workshop on SGP6’s landscape approach in November 2017 for 30 persons from the NSC, the Government and relevant technical advisers;
 - A training workshop in Kurunegala on 2 February 2018 on the landscape approach and GEF focal areas at a workshop for over 90 entities who submitted EOIs for SGP grant support;
 - Proposal development workshops in May and August 2018 for over 40 SGP Project beneficiaries that included training on Results Based Management and SGP log frame outcomes and indicators, and grant monitoring based on the log frame;
 - Workshops for the Colombo Landscape on “Conducting Ecological Social Surveys in Colombo Wetlands and Introduction of floral and faunal species commonly found in wetlands in the Colombo landscape” (17 July 2018), and “Finalizing Baseline Questionnaires and Guidance on Data Analysis for the Colombo Landscape” (14 August 2018);
 - Progress workshops in September 2018 in the 3 landscapes to accelerate learning and sharing experiences amongst grantees that were delivered by the 3 Knowledge Management grantees;
 - A workshop on Eco-Tourism in October 2018 to guide the Knuckles Landscape grantees on eco-tourism;

- A flyer on “What’s Up” at SGP, was launched in July 2018 as a monthly issue to inform stakeholders of ongoing work of SGP Sri Lanka;
 - A multi-stakeholder meeting for the Colombo Urban Wetland Landscape stakeholders on 21 December 2018 with the participation of stakeholders such as SLLRDC, the Colombo Divisional Secretariat, GEF-SGP, Colombo landscape grantees and the Knowledge Management partner, Surakshi GTE Ltd;
 - A multi-stakeholder meeting for the Knuckles Landscape stakeholders on 21 January 2018 at District Secretariat, Matale with the presence of the Matale District Secretary, Laggala Divisional Secretary, Officers of GEF-SGP, UNDP, Forest Department, Department of Wildlife Conservation, Knuckles Landscape grantees and the Knowledge Management partner, SLEES. Project proponents currently executing grant projects presented their progress to the stakeholders and received feedback. A networking session was also organized at this event with the private sector;
 - A multi-stakeholder meeting for stakeholders of the Mannar Island Landscape on 17 January 2019 at the District Secretariat, Mannar that included 27 participants from District and Divisional Secretariats of Mannar, Divisional Secretariat, Poonarine, officials from MEPA, CCD, Sri Lanka Navy, consultants, GEF/SGP Secretariat, members of grantee projects and knowledge management project, and Mannar Eco-Friends. Representatives from 5 grantee projects presented their project progress, issues and collaborations needs;
 - The 2nd International Conference on Social Enterprise & Social Finance under the theme of “Think Social Produce Social Buy Social” on 28-29 January 2019 at Waters’ Edge, Battaramulla. Organized by Lanka Social Ventures Ltd in partnership with British Council, Government institutions and private sector organizations, the conference was a platform to showcase inspiring stories, products and services of social enterprises, facilitate co-financing opportunities, and provide opportunities to expand business incubation activities.
52. To bolster delivery of Outcome 4, SGP6 plans the following actions in late 2020 towards the completion of SGP6:
- Recruitment of a communication expert in mid-2019 who will document and analyze the experiences, lessons and discussions from all SGP6 workshops and meetings and develop a communication strategy that will better define how SGP will communicate to stakeholders such as NGOs, private sector and the government and policy makers;
 - Building the capacity of the Sri Lanka Nature Forum and the SGP network, a collaboration of over 80 SGP NGOs through training on SGP focal areas, landscape approach training, business model training and up-scaling. Capacities will be built with the expertise of the NSC, SGP6 Technical Advisers and academia (through day training and field practicums), and a consultant to develop business models for SGP grantees and Sri Lanka Nature Forum personnel. These activities were initiated in late 2018 and are planned for continuation to the end of 2019;
 - Exchange programmes planned for all 3 landscapes by late-2019 to facilitate grantee learning of other projects and the application of the landscape approach.
53. Case study publications of prominent SGP6 projects are to be prepared in 2020 as a means to elaborate on the importance of the SGP6 pilot initiatives in each landscape, and their potential for strengthening related policy work and master plans for these landscapes, which may result in national recognition and interventions on a national scale. These case studies will be developed together with each grantee and the Knowledge Management group with the current plans for their delivery and publication in 2020 followed by a symposium to showcase their results.

54. The MTR rating of progress towards the SGP6 Outcome 4 is **satisfactory** in view of the progress made by CPMU on the organization of the multi-stakeholders governance platforms and the progress on SGP initiatives that position the Project to prepare 3 case studies over the 3 landscapes by 2020.

3.2.2 Remaining Barriers to Achieving Project Objective

55. In tracking the SGP6 Project's progress towards its objective of *“enabling community-based organizations to take collective action for adaptive landscape management for socio-ecological resilience through design, implementation, and evaluation of grant projects for global environmental benefits and local sustainable development in three ecologically sensitive landscapes....”*, there are barriers that remain to fully achieving this objective including:

- *Current capacity of NGOs to generate and implement grant projects according to specific targets.* This would apply to targets such as reforestation for BD and improved grazing practices for LD. Proposals received to date on reforestation are not very large in area, making the 8,000 ha target a challenge to achieve. Similarly, no proposals have been received for improved grazing practices for LD which would predominantly come from the Mannar Island-Jaffna landscape. None of the CSOs or NGOs on this landscape submitted proposals involving improved grazing practices;
- *Some grant projects will only be able to mobilize community support with SGP6 funds but cannot achieve objective of enabling them to take collective actions and evaluate projects for local sustainable development.* This would particularly apply to grant projects in the Mannar Island-Jaffna landscape where most communities are recovering from conflicts from the past 3 decades, and where collective actions towards local sustainable development will continue to be difficult until stronger relationships between NGOs and CSOs and communities can be developed;
- *Lack of assurances of continuous support required for strategic grant projects that have a high likelihood of supporting the transformation of grant projects into social enterprises.* This barrier should be addressed by the selection of strategic grant projects in Outcome 3. However, there needs to be an assurance by the NSC that the strategic projects selected do have a high likelihood of being up-scaled after pilot demonstrations, and that the strategic projects support the accelerated up-scaling towards the transformation of a community or CBO into a “social enterprise” or commercial operation that is self-sustaining. This will be a challenge with the remaining time available on SGP6 of 21 months;
- *SGP6 sources of co-financing are insufficiently diversified.* CPMU's outreach has managed to identify private and institutional sources for co-financing as mentioned in Paras 35 and 36. However, for significant upscaling of SGP6 activities and replication in the landscapes to meet the co-financing targets of SGP6, more diversified sources of co-financing or potential financing need to be identified.

3.3 Project Implementation and Adaptive Management

3.3.1 Management Arrangements

56. SGP6 is being executed by UNOPS under the UN execution modality. SGP6 is managed by a CPMU that is led by a National Project Coordinator (NPC) who is assisted by a full-time Project Assistant, as well as 3 part-time Technical Advisors (one for each landscape). The Project Coordinator reports to the NSC whose mandate is to provide overall guidance for the SGP6 Project throughout its implementation, and be responsible for, amongst other responsibilities, coordination amongst

various stakeholders (government, CSOs, NGOs and private sector), overseeing work carried out by grantees, monitoring progress and approving plans and reports, and providing oversight to financial management and production of financial reports generated from UNOPS. The NSC includes representatives from MoMDE (whose representative is the National Project Director or NPD and Chair of the NSC), UNDP, academic and scientific institutions, CSOs, NGOs and the private sector, all of whom serve the NSC in a voluntary capacity. A complete listing of NSC members is provided in Appendix C. The SGP6 organization structure is provided in Figure 2.

57. To date, SGP6 held 15 NSC meetings (4 in 2017, 9 in 2018 and 2 in 2019) since the Project Inception workshop in March 2017 (CPMU staff were appointed in January 2017). The last NSC meeting was held in March 2019. The NSC meeting minutes contain detailed discussions on all aspects of SGP6 activities including grant project approval processes, and troubleshooting on the performances of a few grant projects to ensure their technical quality meets the strategic objectives of SGP6. These meeting minutes also reflect the technical capacities of NSC members (also witnessed during the MTR consultant's debriefing meeting of 14 March 2019 and with individual interviews with those not present at the debriefing meeting. In general, the NSC appears to be effectively functioning in the context of making key Project decisions, notably the adaptive management of SGP6:
- At the time of the preparation of this MTR, 47% of SGP6 funds were committed for disbursement, 14% below the disbursement envisaged by the ProDoc. As a response to this, CPMU plans to change the pace of SGP6 implementation are in place especially with the Outcome 3 strategic grants in place. The mobilization of the SGP6 team cannot be considered as a delay; the recruitment and mobilization of the SGP6 CPMU only required 2 to 3 months which is considered relatively efficient, followed by the Inception Workshop in March 2017, 3.5 months after the 30 November 2016 signing of the ProDoc. The official SGP6 commencement date was set at 25 January 2017 with a terminal date of 25 January 2021, thus securing a 48-month implementation period of SGP6;
 - Identification of specific technical assistance required to increase the effectiveness of the management and results of SGP6 grants. This would include:
 - the recruitment of an eco-tourism consultant in 2018 to respond to the needs of eco-tourism grantees to improve their capacities for business planning that would assist them towards building a successful eco-tourism enterprise; and
 - the ongoing CPMU recruitment of landscape-based field coordinators to improve M&E functions of the CPMU (see Paras 64-65);
 - Incorporating plans of private sector that approach SGP6 for collaboration. This includes a private non-profit organization that has made a commitment to conserve a number of hectares of forest in the Knuckles Landscape for carbon sequestration (as mentioned in Para 41).

3.3.2 Work Planning

58. SGP6 work plans were somewhat dependent on the responses by SGP6 grant applicants to calls for proposals. As such, approved proposals of SGP6 grantees complete with signed MoAs and individual work plans served as the basis for annual SGP6 work plans.

3.3.3 Finance and Co-Finance

59. Disbursement of the SGP6's GEF resources are provided in Table 2. The expenditure of the SGP6's GEF budget up to 13 May 2019 can be characterized as follows:

Figure 2: Current Management Arrangements for the Sixth Operational Phase of the GEF Small Grants Programme in Sri Lanka (SGP6 Project)

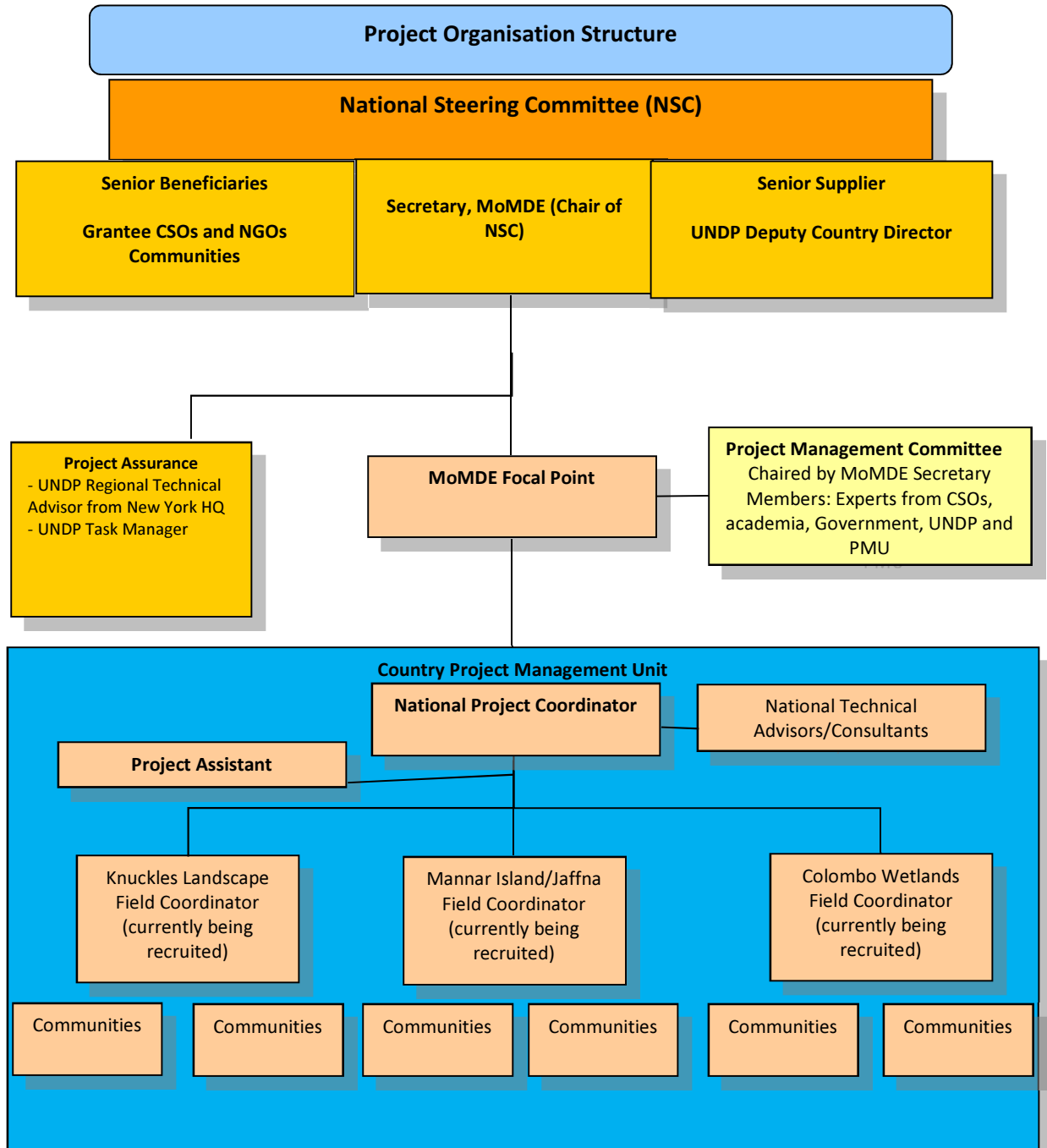


Table 2: Sri Lanka SGP6 Project Budget and Expenditures (in USD as of 31 March 2019)

Outcomes	Budget (from ProDoc)	2016 ¹⁸	2017	2018	2019 ¹⁹	Total Disbursed	Sum of committed funds (2017-19)	Total remaining
OUTCOME 1: Multi-stakeholder partnerships in three ecologically sensitive landscapes develop and execute management plans to enhance socio-ecological landscape resilience and global environmental benefits	240,000		74,509	44,496	14,600	133,605	(0)	106,395
OUTCOME 2: Community-based organizations in landscape level networks build their adaptive management capacities by implementing projects and collaborating in landscape management	1,325,000		100,427	354,633	214,653	669,713	586,000	69,287
OUTCOME 3: Multi-stakeholder partnerships develop and implement strategic projects that catalyse the broader adoption of successful SGP-supported technologies, practices, or systems	425,000		2,021	6,429	12,868	21,318	17,942	385,740
OUTCOME 4: Multi-stakeholder landscape policy platforms discuss potential policy innovations based on analysis of project experience and lessons learned	388,170		9,595	10,249	2,268	22,112	3,355	362,703
Project Management	118,908		19,179	5,889	9,183	34,251	5,230	79,427
Total (Actual)	2,497,078	-	205,730	421,696	253,572	880,998	612,527	1,003,552
Total (Cumulative Actual)		0	205,730	627,426				
Planned Annual Disbursement (from ProDoc) ²⁰		0	259,225	1,276,225				
% Expended of Planned Disbursement			79%	33%				

¹⁸ ProDoc was signed by the Government of Sri Lanka on 18 November 2016

¹⁹ Covers January to 13 May 2019

²⁰ 2017 expenditures include expenditures of November to December 2016

Table 3: Actual Co-Financing for Sri Lanka SGP6 Project (as of 31 March 2019)

Co-financing (type/source)	UNDP own financing (million USD)		Government (million USD)		Partner Agency (million USD)		Private Sector (million USD)		Total (million USD)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants ²¹					1.100 ²²	0.360 ²³			1.100	0.360
Loans/Concessions										
• In-kind support	0.400		0.700		1.000 ²⁴	0.263 ²⁵			2.100	0.263
• Other										
Totals	0.400	0.000	0.700	0.000	2.100	0.623			3.200	0.623

²¹ Includes all cash contributions

²² From Sri Lanka Nature Forum and Chair of the SGP NSC

²³ Cash provided by SGP6 grantees. See Para 35 for breakdown by landscape.

²⁴ From Sri Lanka Nature Forum and Chair of the SGP NSC

²⁵ In-kind provided by SGP6 grantees. See Para 35 for breakdown by landscape.

- After 29 months of Project disbursements (up to 13 May 2019), US\$880,998 or 35% of the SGP6 grant of US\$2,497,078 has been expended;
 - Combined with the 29 months of disbursements (which is 60% of the total SGP6 implementation period of 48 months), total disbursed and committed funds from SGP6 to date is US\$1,493,525 or 60% of the total SGP6 grant. While this can be considered satisfactory in line with the implementation period elapsed, the pace of grant disbursements is wholly dependent on the actual capacities of the grant recipients, over which the CPMU has little control;
 - A significant amount of these funds are committed to ongoing SGP grant projects with grantees as well as consulting contracts that amount to US\$612,527;
 - As expected, 79% of the US\$1,178,503 disbursed and committed funds are grants to the institutions under Outcome 2.
 - The remaining 21% (or US\$315,022) of disbursed and committed funds has mainly been spent on associated project management costs, travel, workshops, and consulting assistance to collect and analyse baseline information and formulate landscape strategies for each of the 3 landscapes;
 - An additional US\$270,000 will soon be committed to the Strategic Grants tied to Outcome 3.
60. The Project has also demonstrated that appropriate financial controls are in place, notably through:
- Project Budget Balance Report (both as generated by ATLAS and oneUNOPS) which shows the expenditure and commitments in the current year up to date, allowing UNDP to monitor and adaptively manage SGP6 budgets;
 - manual monitoring of Project expenditures against budget lines to attain an in-depth understanding of the financial progress and the pending commitments;
 - the involvement of UNOPS New York to whom detailed information is provided if there are any deviations before releasing the ASL (authorized spending limit) for that particular year.

To date, however, no financial spot checks have been carried out on SGP6. An audit is expected to be conducted during June or July 2019.

61. Co-financing commitments for SGP6 are estimated at US\$623,465 (comprising around 19.5% of the co-financing commitments in the ProDoc of US\$3.2 million), as mentioned in Para 35. Co-financing details to date are summarized on Table 6. In conclusion, co-financing of the SGP6 project to date has been **moderately satisfactory**.
62. In conclusion, the cost effectiveness of the use of the SGP6 budget to date has been **satisfactory**, with the only issue being the slower progress made thus far on the grant initiatives, an issue that has been mentioned as somewhat beyond the control of the CPMU.

3.3.4 Project Level Monitoring and Evaluation Systems

63. Evaluation of the SGP6 monitoring and evaluation systems was based on the only PIR issued by SGP6 in June 2018 as well as discussions with CPMU personnel. Though SGP6 started on 25 January 2017, the CPMU was not recruited until March 2017 with little to no progress to report on SGP6 as of June 2017 (the normal date on which PIRs are to be submitted for UNDP). The Inception workshop on 17 March 2017 captures most of work done during this period. A review of the 2018 PIR reveals the provision of sufficient details of the progress of SGP6 within the framework of the PRF in the ProDoc

including all SGP6 Project outcomes and indicators. The 2018 PIR has also provided detailed progress assessments along with key issues that may potentially impede progress or achievement of objectives that can be addressed during the 2018-19 implementation period of SGP6.

64. With regards to the monitoring of targets in Outcome 2, the CPMU has been reliant on reporting from grantees on the number of hectares of land that have been reforested, mitigated from land degradation, amongst other targets. While this involves many of the grantees reporting areas of influence under SGP6 grants, the CPMU is not sufficiently staffed provide oversight on the reporting of progress of these targets. Moreover, despite the presence of an SGP database (<https://sgp.undp.org/projects-154.html>) as a tool to monitor SGP progress, this database does not have the capacity to efficiently prepare progress reports of grant projects. The Midterm Reviewer does pose a question on why this SGP does not have a functioning database program setup for this purpose (the Midterm Reviewer also notes that SGP India did not have such a database). While a spreadsheet could suffice for this purpose, a database complete with fields of information (such as grantee name, date of grant, grant amount, grantee address, key words of work performed, progress status, etc.) can be easily setup complete with database functions that can generate customized progress reports since all pertinent information appears to be present on the SGP database for Sri Lanka. The CPMU is currently insufficiently staffed for the development of this database. SGP6 is currently in the process of recruiting 3 “field” coordinators to augment CPMU capacity for monitoring and reporting progress in each landscape. Assuming that SGP6 is successful in recruiting the appropriate persons for this role, many of the shortcomings of the current system for M&E identified in this MTR report would be resolved combined with more structured progress reporting that can be inputs to the suggested functional database for SGP grants. These field coordinators may also be able to augment efforts led by the Chair of the NSC to provide monitoring for indicators that reflect physical and chemical improvements within a watershed or conserved area²⁶.
65. Further to the monitoring of Outcome 2 targets, SGP6 is also faced with issues with each grant project in terms of how to classify its benefits against these targets. For example, one grantee in the Knuckles Forest (Dumbara Mithuro - K-17) could claim benefits against 2 of these targets (10,000 ha under sustainable use for improved ecosystem function as well as 2,000 ha of land rehabilitated through best practice soil conservation measures and agroforestry). CPMU field personnel would be better positioned to work with the grantees to determine specific progress against these targets, rather than solely depending on the judgment of the grantees. Another example includes the extent of the number of hectares that can be claimed under protection or sustainable use for biodiversity conservation with the identification of the existence of critically red listed species. In the case of identification of a rare frog whose habitat was being under threat from the construction of the parking lot for tourist vehicles (by the Herpetological Foundation of Sri Lanka – K-20), a large number of hectares could be claimed as being under protection for “sustainable use for biodiversity conservation” with a local government claiming that they would not provide permits for the building up anymore such parking lots. Issues related to the more precise determination of progress against targets (notable land-based targets) may be resolved with the recruitment of field coordinators mentioned in Para 57 and 64.
66. In conclusion, the M&E systems of SGP6 are **moderately satisfactory** in consideration of a lack of a developed database (mentioned in Para 64) that can efficiently generate progress reports of all

²⁶ Based on personal communication with the NSC Chair who informed the MTR consultant of the availability of laboratories to monitor water quality, soil quality and other indicators of environmental quality.

grantee projects. In addition, the spreadsheet “database” provided by the CPMU has 21 links to the SGP database with another 10 grants yet to be listed in the SGP database. The CPMU, however, are currently actions to address some of the aforementioned shortcomings with field coordinators who can augment improvements to reporting functions of SGP6 M&E systems for the remainder of the SGP6 Project to its EOP scheduled on 25 January 2021.

3.3.5 Stakeholder Engagement

67. SGP6 has successfully facilitated partnerships with a wide range of relevant stakeholders, all of whom have contributed to the efficient implementation of SGP6. Engagement of stakeholders has been strategic from the engagement of personnel who constitute the NSC (including the Tea Research Institute of Sri Lanka who chairs the NSC, and a Deputy Director of MoMDE), to consultants on knowledge management (including Surakshi for the Colombo Landscape and the Sri Lanka Environmental Exploration Society (SLEES) for the Knuckles Landscape) and landscape strategies (including University of Peradeniya for the Mannar Island Landscape and the University of Colombo for the Colombo Landscape), to the selection of SGP grantee recipients. The long detailed process for the selection of grantees and consultants is documented in the NSC meeting minutes that also includes extensive discussions over the capacities of the respective grantees and consultants, their track records and local knowledge, and the strength of their linkages with beneficiary communities. While there is an appearance of a high success rate in identifying the partners, the CPMU has been dealing with one or 2 grant projects where there has been a failure to deliver contracted outputs. Much time has been spent by CPMU personnel perform forensic audits on performance of the grantee to find and identify reasons for their non-compliance to contract. Moreover, CPMU staff have also expended considerable time and effort to address appeals filed by unsuccessful grantees given the scarcity of grant funds in Sri Lanka for community-based initiatives. According to CPMU personnel, none of these appeals have resulted in a reversal of the original decisions.
68. SGP6 has engaged partnerships with over 35 entities mainly consisting of local NGOs and CSOs and academia strategically selected to advance landscape strategies. Some of the partnerships include:
- Wanasarana Thurulatha Swechcha Society (WTSS) based within the Colombo Landscape to assist in the revival of cultivation by local farmers of barren paddy fields with traditional paddy varieties and vegetable crops in the Walpita wetlands of the Homagama Agrarian Division;
 - Small Cat Advocacy and Research also based within the Colombo Landscape to conduct research on “urban fishing cats”;
 - Aquatic Resources Management (OARM) that works on habitat restoration and enrichment of the Heen Ela marsh, Rajagiriya, in the Colombo landscape, with aims of creating suitable habitats to attract aquatic birds and establishing an urban park open to visitors that would raise awareness on urban biodiversity and the importance of protecting these wetlands;
 - Herpetological Foundation of Sri Lanka to the protection of herpetofauna point endemic species and strengthening their conservation status within the Knuckles landscape;
 - Sri Lanka Turtle Conservation Project dedicated to the promotion of the wise use of marine and coastal habitats by coastal communities through education and incentives in Vidathalativu, Mannar within the Mannar Island Landscape;
 - Jaffna University who are spearheading efforts to promote sustainable livelihoods and shoreline rehabilitation of the Kavuturimunai community south of Jaffna city;

- Dumbara Mithuro Foundation (Friends of Knuckles Foundation for Nature & Culture) who are focused on biodiversity conservation in four villages in the Knuckles Conservation Forest through community participation.

A listing of all SGP grantees is provided on Appendix F.

69. SGP6 have also established interesting linkages with other programs including Lanka Social Ventures (LSV), a group that supports incubation activities for local entrepreneurs and innovations for social change. LSV are also supported by the British Council and UN-ESCAP. SGP6 is providing support for these incubation workshops that were linked to some of its grantees. These incubation workshops focus on assisting entrepreneurs in strategic business thinking, preparing business plans, and prudent management of their businesses, all issues considered important in the evolution of SGP grantees to become social enterprises.
70. In summary, SGP6 have made **satisfactory** efforts to reach out to a wide range of stakeholders that has contributed to SGP 6 reaching most of its intended objective and targets.

3.3.6 Reporting

71. SGP6 progress reporting has been **satisfactory**. This is based on an assessment of the quality of the 2018 PIR which has provided detailed descriptions of progress and issues identified for adaptive management under the section entitled “Ratings and overall assessment”. No issues were flagged under the section entitled “Critical risk management”. However, as mentioned in Paras 64 and 66, actions are being taken to augment the capacity of the CPMU for more detailed progress reporting from each of the landscapes.

3.3.7 Communications

72. SGP6 communications on its impact on local communities has been **satisfactory**. Much of the infrastructure for communicating SGP6 impacts to the general public has been set up from previous SGP projects in Sri Lanka. As such, SGP6 has been able to utilize its infrastructure from previous SGPs with improvements to improve its outreach. This includes the GEF Small Grants Programme website for Sri Lanka that contains information of previous SGP operational programs as well as a separate SGP6 link²⁷ that does not appear to have been updated since mid-2018. Notwithstanding, this link does contain useful information and guidance for grantees contemplating an application for grant funding under SGP6.
73. SGP6 sponsored communications with external stakeholders have mainly been channeled through workshops and opportunities to participate in various Global Knowledge Exchange workshops. These events have been attended mainly by the NSC members including:
- South-South Exchange platform of knowledge exchange organized by SGP India in Ahmedabad, showcasing environmentally friendly products and climate smart products produced by the programme. This was an invaluable exchange in March 2017 to meet grantees from India and learn from their innovations that has assisted in informing Sri Lanka’s SGP6 on collaborating with

²⁷ <http://www.gefsgpsl.org/GEF-SGP-OPERATIONAL-PHASE%2006English.aspx>

SGP India on how to set up a knowledge exchange platform for grantees to learn from each other;

- COMDEKS Global Knowledge Exchange workshop in Costa Rica in 2017 on landscape approaches;
- the SGP UCP Global Workshop in Quito, Ecuador in 2018, also involving landscape approaches as a central theme for discussions and trainings;
- grantee HEDO winning the first runner up in the Yale prize for innovation in February 2017, where experiences on fuel-efficient rubber were showcased in the US at the Yale Chapter of the International Society of Tropical Foresters (ISTF) Innovation Prize.

74. SGP6 had also initiated an SGP6 newsletter “Whats Up – GEF-SGP Sri Lanka” with the first issue in mid-2018. The newsletter appears only to address SGP grantees as its target audience, providing information on SGP related events, notable achievements of selected grantees, and other SGP grantee networking events. However, the newsletters do not appear to be available on the SGP website.

3.3.8 Gender

75. SGP6 has made efforts to mainstreaming gender and social inclusiveness into its operations. While a strategy for gender equality has been mentioned in the 2018 PIR, this Strategy was not available to the MTR. However, gender issues were well covered and given priority within the 3 landscape level baseline surveys. This coverage of gender inequalities in the baseline survey reports provided a basis for landscape-wide gender analyses by an SGP gender consultant, completed in late 2018. This provided further gender analysis and proposed action plans in each landscape to assist in incorporating gender aspects within all SGP projects during SGP6. Further activities to encourage gender equality were made in the selection of NGOs for SGP grants where approaches to gender equality were considered a key selection criteria.

76. Observations during the March 2019 MTR mission revealed a general gender equality of persons involved on the grant projects. Moreover, there were some grant projects where women are leading and where they were observed to be the dominant driver of activity including:

- Public Interest Law Foundation that is led by women to give legal status to the Mattegoda and Polgasovita wetlands as protected areas in the Colombo Landscape;
- Emotional Intelligence and Life Skills Training Team (Gte) Ltd, a grantee working with women managers, who are involved with the project design and serve as key implementers to establish community groups to participate in conservation of the selected site in Madinnagoda wetland in Colombo;
- University of Sri Jayewardenepura (Center for Sustainability) which is led by women that aims to restore and sustainably manage the Madinnagoda wetland ecosystem, Sri Jayewardenepura, Kotte;
- Small Cat Advocacy and Research is led by women to implement an urban fishing cat conservation project in the Colombo Landscape; and
- The Community Development Centre is led by a women to liaise with villagers of the KCF buffer zone area north of Ududumbara in the Knuckles Landscape to sustainably manage their lands for agriculture and provide a sustainable harvest of native taro plants to supply a taro chip making business.

3.4 Sustainability

77. In assessing sustainability of SGP6 at its mid-point, the evaluators asked “how likely will the Project outcomes be sustained beyond Project termination?” Sustainability of these objectives was evaluated in the dimensions of financial resources, socio-political risks, institutional framework and governance, and environmental factors, using a simple ranking scheme:

- 4 = *Likely (L)*: negligible risks to sustainability;
- 3 = *Moderately Likely (ML)*: moderate risks to sustainability;
- 2 = *Moderately Unlikely (MU)*: significant risks to sustainability; and
- 1 = *Unlikely (U)*: severe risks to sustainability; and
- *U/A = unable to assess*.

Overall rating is equivalent to the lowest sustainability ranking score of the 4 dimensions.

78. Financial risks to sustainability: This risk pertains to the availability of finance to an SGP grantee after GEF-SGP funds have been exhausted. In the analysis of financial sustainability, SGP grantees can be categorized into one of the 4 developmental stages from community mobilization to transformation into a social or commercial enterprise²⁸. All grantees need financial, administrative and technical support to achieve one of the 4 stages of development. However, some of the grantees of SGP6 will not evolve through all the 4 developmental phases²⁹ but provide efforts that are valuable to sustainable management of the landscapes such as the collection of baseline information.

79. The benefits of SGP6 initiatives has had exposure to the MoMDE, other Sri Lankan government agencies as well as the private sector through networking events sponsored by SGP6. Notwithstanding that grant funds from the Sri Lankan government are scarcer, these events provided opportunities for exposure to Government agencies for funding as well with private sector entities with CSR funds. Current opportunities include an UK-based NGO to undertake reforestation initiatives in the Knuckles Landscape, partnerships with other donor projects, and the Green Climate Fund (GCF), both of which can be limiting in terms of access to required funding to sustain several SGP6 grant projects. However, accessing funds from the GCF is effort-intensive and competitive, not necessarily leading to any assurances of financing for future SGP projects that are up-scaled or evolving into social enterprises. Moreover, there appears to be a lack of an extensive network of financing sources for the scaling up of SGP6 projects. As such, the financial sustainability of SGP6 is currently in question with an immediate need for the CPMU to focus on increased SGP6 exposure to additional and more diversified financing networks that can scale-up SGP projects. Thus, the rating for the financial risks to sustainability is moderately unlikely (MU).

80. Socioeconomic risks to sustainability: SGP6 has a wide range of grantees including field researchers, CSOs focused on one particular landscape or community, and enterprises with sustainable models of

²⁸ The Mid-Term Reviewer views SGP grantees into 4 developmental phases: 1) community mobilization where a grantee’s primary purpose is developing trust between a CSO and a host community; 2) pilot phase where a grantee is able to demonstrate the benefits to a community of a particular initiative; 3) upscaling where a grantee support replications of the successful pilot phase; and 4) commercialization or evolution into a social enterprise, where a grantee provides the tools and measures to make a community or enterprise self-sufficient.

²⁹ Examples include the Herpetological Foundation of Sri Lanka who cannot progress beyond a pilot phase since their work is focused on identification of red listed species. OARM is an NGO only focused on activities within the urban wetlands of Colombo which cannot be replicated beyond a pilot phase.

extraction of natural resources. For SGP projects where there are stakeholders who are beneficiaries of CSO and NGO work, socioeconomic risks are low considering the grant projects selected are specifically targeted to provide sustainable livelihoods including sustainable extraction of natural resources from local communities. For example, Community Development Centre, (K-14) assists host communities in the sustainable extraction of taro roots that will serve as a supply for a taro chip making enterprise, and where beneficiary local households will experience increases in local incomes. Similarly, the Zoological Students Association (M-22) have plans to assist the Kavaturimunai community south of Jaffna city to promote sustainable livelihoods and rehabilitate mangrove vegetation that will increase habitat favourable to local aquatic life, and boost fishery catches that have been declining for years in the area. Overall, the socioeconomic risks to sustainability of SGP 6 is rated as likely (L).

81. Institutional framework and governance risks: As an upgraded program, SGP6 in Sri Lanka is a reflection of the willingness of the Government of the Sri Lanka to allocate its STAR allocations to community-based initiatives. With SGP6 technical advisors working closely with local communities to assist them with measures to mitigate land degradation and support compliance to government land policies, to increase productivity of lands, to provide advice and examples of sustainable use of natural resources, and to conserve biodiversity, officers from provincial and local governments in communities with SGP grants within all 3 landscapes have been highly supportive of SGP grant initiatives. This would include:

- the Agriculture Department (as observed in the Knuckles and the Mannar Island Landscapes), where SGP projects increase productivity of lands that help local communities to comply with sustainable land policies of the government;
- the Forestry Department in the Knuckles Landscape where SGP projects promote sustainable natural resource extraction that assists the Government through reducing encroachment onto designated forest conservation areas; and
- the Sri Lanka Land Reclamation & Development Corporation (SLLRDC) where SGP projects assist SLLRDC in providing resistance against development of wetlands viewed as crucial to the ecological health of the landscape, by promoting the revival of traditional agricultural cultivation and raising the interest in urban biodiversity throughout the wetlands within this landscape.

As such, institutional framework and governance risks to sustainability is rated as likely (L).

82. Environmental risks to sustainability: All SGP6 grant projects are geared towards environmental benefits such as arresting land degradation, reforestation, biodiversity protection, and reduction of threats to key biodiverse areas such as coral reefs and wetlands. In addition, SGP6 projects also support efforts sustainable rural livelihoods and sustainable extraction of natural resources from bow diverse areas, thus reducing the threats to biodiversity and several of its grant projects. As such, environmental risks to sustainability of SGP6 are viewed to be largely insignificant resulting in a rating of environmental risks to sustainability as likely (L).

4. CONCLUSIONS AND RECOMMENDATIONS

4.1 Conclusions

83. Progress of SGP6 to date is satisfactory and closely follows the plans laid out in the SGP6 ProDoc. With the completion of landscape-specific typologies for community-level projects and eligibility criteria for grant projects formulated by a diverse group of stakeholders from each landscape, a “positive” mix of stakeholders are working in each landscape to build adaptive management capacities of local communities through implementing SGP supported initiatives. Some of these initiatives have the potential to transform into social enterprises while other initiatives are required to significantly raise the profile of biodiversity and land degradation issues within various communities. The level of collaboration between various NGOs and CSOs for all SGP initiatives has been satisfactory to the extent that replication of some of the SGP initiatives (including strategic projects planned under Outcome 3) can be realized with a caveat that further support will likely required from other funds such as CSR funds or subsequent SGP operational phases. SGP6 is also making a significant contribution to enhancing livelihoods of women in the beneficiary communities. It is entirely conceivable that SGP6 can achieve reset targets (see Para 88) within the expected terminal date of 25 January 2021.

84. With regards to progress in the Knuckles Landscape, the following conclusions are drawn:

- SGP initiatives related to the sustainable harvest of local vegetation and crops (such as taro root) were viewed positively considering beneficiary households not only understand the concepts being provided by CBOs (such as Uda Dumbara in the Knuckles Landscape or Dumbara Mithuro (K-17) and their work on homestays and tour guides as a means of promoting and conserving biodiversity), but are driving positive environmental transformation within their communities. Furthermore, some of these CBOs are upscaling their activities with the potential to transform into a social enterprise pending further financial support;
- A number of SGP initiatives were related to ecotourism projects, all of which have potential to be transformed into sustainable livelihoods for local communities. SGP6 inputs to date, however, may not result in generating tourism-related incomes due to the lack of marketability of these tourism destinations. The inputs of an eco-tourism consultant would be useful to guide development and future investments to attract tourism, domestic or international with a strong likelihood that further support beyond SGP6 will be required for these potential eco-tourism businesses to generate income;
- SGP initiatives supporting NGOs that raise awareness of the value of biodiversity in ecological systems are valuable but will require continued support after the conclusion of SGP6. This would include the Herpetological Foundation of Sri Lanka (K-20) on their work on new species identification in the Knuckles Landscape, many of which are red listed which has led to the halting of various developments within the Knuckles Landscape to preserve the habitat of these red listed species.

85. With regards to the Mannar Island-Jaffna Landscape, the following conclusions can be drawn:

- Considering that many of the communities within this landscape and experience years of conflict, most of the SGP6 resources expended in the Mannar Island Landscape have the primary purpose of “community mobilization”, a stage required to build community trust. This would include

Zoological Student Association (M-22) from the University of Jaffna and their community work in Kavaturimunai (south of Jaffna city), and the Turtle Conservation Project (M-5) and its community work related to Vidaltivu (20 km east of Mannar city). It is highly likely that further financial resources will be required to technically support pilots and demonstrations after the completion of SGP6;

- Valuable work is being undertaken by the Marine and Coastal Resources Conservation Foundation (M-14) to map and collect information on salt marshes and invasive species (*Prosopis juliflora*) from Mannar with regards to the Island to Jaffna. Without the collection of valuable baseline information being collected under this grantee, difficulties will arise in the future for raising funds to develop sustainable use of these lands.

86. With regards to the Colombo Landscape, the following conclusions can be drawn:

- SGP initiatives to restore use of abandoned paddy lands is encouraging with good yields of organic rice and other crops, and several farmers who are pleased with their increased incomes based on higher unit prices for organic rice and produce. This outcome can be based on the work done by the Wanasarana Thuruluatha Swechcha Society or WTSS (C-5), and other similar SGP grantees in this landscape. Most of these initiatives are located east of the E02 toll highway to Galle. The presence of fish throughout landscape is an excellent indicator of water quality within the watershed;
- SGP initiatives within the jurisdiction of SLLRDC and closer to the urban areas of Colombo have ongoing efforts to preserve urban wetlands. However, many of these wetlands are experiencing stronger threats from encroachment of urban households and waste, and wetlands where there are attempts to revive cultivation in abandoned paddy fields will face higher risks of implementation delays due to complex land ownership arrangements;
- there are a number of SGP initiatives that are valuable in raising awareness of biodiversity and the importance of wetlands within the city limits of Colombo. This would include the Organization for Aquatic Resources Management (C-14) on their work on promoting urban ecotourism and supporting biodiversity through environmentally friendly habitats and the Small Cat Advocacy and Research (C-20) in the Colombo landscape on their work on fishing cats. Additional finances will be required to raise and sustain the profile of the work of these NGOs after the completion of SGP6.

Table 4 is a summary of the ratings of achievements on SGP6 within the UNDP-GEF evaluation criteria mentioned in Para 4.

Table 4: MTR Ratings & Achievement Summary Table for “SGP6” in Sri Lanka

Measure	MTR Rating ³⁰	Achievement Description
Project Strategy	Achievement rating: 5	Project strategy is sound, notably in the consideration of the setup of multi-stakeholder committees, formulation of socio-ecological baseline assessments and landscape strategies, implementing several grant projects piloting measures and technologies to conserve biodiversity and promote sustainable land management, implementing strategic projects to facilitate upscaling of successful SGP supported initiatives, and facilitating the formation of multi-stakeholder governance platforms for policy innovations based on SGP initiative project experience that will further promote up-scaling (see Paras 20-23).
Progress Towards Results	Objective Achievement Rating: 5	SGP grants are resulting in CBOs taking collective in 3 landscapes to meet the targets for sustainably managed production landscapes that conserve biodiversity and enhance ecosystem services, and rehabilitation of degraded lands under sustainable land management practices (Paras 30-31).
	Outcome 1 Achievement Rating: 5	Multi-stakeholder partnerships have been developed for all 3 landscapes along with social ecological baseline assessments and landscape management strategies, and several agreements formalized between CBOs and strategic partners in each landscape to collaborate on community and landscape level projects (Paras 32-37).
	Outcome 2 Achievement Rating: 5	Progress has been achieved towards meeting targets for lands under protection or sustainable use for biodiversity conservation, rehabilitation of degraded wetlands, and land rehabilitated through best practice soil conservation measures. Resetting of these targets, however, will need to be considered (see Paras 38-45).
	Outcome 3 Achievement Rating: 5	Proposals for strategic projects for each of the 3 landscapes are now under consideration to enable and facilitate upscaling of successful SGP supported initiatives. Design of these strategic projects has had the inputs of the local communities involved (Paras 47-49).
	Outcome 4 Achievement Rating: 5	Multi-stakeholder governance platforms have been organized for each of the 3 landscapes with plans to continue convening for information sharing and setting of policies. SGP6 should have a sufficient number of completed projects to be able to prepare one case study per landscape to summarize the best practices and lessons learned from completed SGP6 initiatives, and strengthen these platforms (Paras 50-54).
Project Implementation & Adaptive Management	Achievement rating: 5	Project is being adaptively managed and implemented in a manner that is cost-effective. The PMU has effectively engaged relevant stakeholders (ranging from public and private stakeholders to NGOs, CBOs in CSOs), and is currently recruiting field coordinators for each landscape improve SGP6 monitoring functions. There are some deficiencies in the M&E system (see Paras 64-66)
Sustainability	Sustainability rating: 2	The “moderately unlikely” risk is related to the financial risks related to the lack of diverse sources for continued funding and upscaling of SGP6 initiatives. The current level of identified funding is likely insufficient to carry on many of the ongoing SGP initiatives in all 3 landscapes (see Paras 78-79).

³⁰ Evaluation rating indices (except sustainability – see Footnote 2, and relevance – see Footnote 3): 6=*Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives; 5=*Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives; 4=*Moderately Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives; 3=*Moderately Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives; 2=*Unsatisfactory (U)* The project has major shortcomings in the achievement of its objectives; 1=*Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

4.2 Recommendations

87. To improve implementation (and increase the probability of meeting targets and sustainable outcomes), SGP6 can:

- *Ensure that the services of the eco-tourism consultant being currently recruited strengthen a review of the business plans of eco-tourism grantees and to advise them of the necessary steps required to set up an income generating eco-tourism business (in reference to Para 57 and 84). While many of these grantees had SGP funds for building infrastructure for tourist visits (such as guest houses for homestays and visitor centres), these grantees will require advice on additional investments for infrastructure required to attract tourists (domestic or international), appropriate marketing for their ecotourism business, and training on delivering tourism-friendly services that are necessary to attract tourists and generate income from these businesses;*
- *Strengthen SGP6 linkages between grantees and business incubators to increase the capacities of grantees to upscale and possibly commercialize their activities into social enterprises. SGP6 already has linkages with Lanka Social Ventures, an organization partnered with the British Council that delivers business incubation training. Organizations graduating from these business incubation centres can be linked with some of the strategic projects (Outcome 3) where there are up-scaled activities including the production and sales of unique food products such as organic rice and taro chips that can be marketed and commercialized to a wider market (see Paras 51 and 69);*
- *Work with UNDP's BIOFIN Project to diversify the network of possible biodiversity financing partners who can be approached as a response to the lack of an extensive network of financing sources for the scaling up of SGP6 projects (see Paras 55 and 79). The BIOFIN project is active in identifying sources of co-financing for biodiversity, both public and private, that can be accessed for many of the SGP initiatives. Amongst other efforts, the BIOFIN project in Sri Lanka are examining many entry points where biodiversity financing can be sourced including:*
 - *green investment policies by the banking sector that includes revenue generated from green credit cards;*
 - *sustainability standards and taxes for hotels under the Sri Lanka Tourism Development Authority;*
 - *taxes for ecosystem services provided to industry;*
 - *PPPs where there are projects that conserve and promote sustainable use of biodiversity as a means of reducing reliance on government expenditures;*
 - *diversion of subsidies spent on coal power generation that could be freed for biodiversity conservation;*
- *Continue strong support for grantees who provide significant efforts to raise awareness of biodiversity that includes amongst others, the Herpetological Foundation of Sri Lanka (K-20), Marine and Coastal Resources Conservation Foundation (M-14), Organization for Aquatic Resources Management (C-14), the Small Cat Advocacy and Research (C-20) (in response to issues raised in Paras 78 and 84). Efforts to support this recommendation would include networking these NGOs with other potential sources of financing including the sources mentioned under the BIOFIN project. Without SGP support to find a sustainable source of funding after SGP6, these organizations will experience disruptions to their important work to raise the awareness of biodiversity and the need for its conservation in Sri Lanka;*
- *Request flexibility of UNDP Regional and GEF for any required extensions of SGP6 from its terminal date of 25 January 2021 in the event there are unforeseen delays or a slowing of the*

pace of progress by SGP grantees in delivering their contracted works. Given the tragic events in the country during April 2019, close monitoring of SGP6 progress is required in the event an extension of SGP6 is required. Following a CPMU-prepared request for an extension followed by a recommendation from the NSC and approved by the RTA, a one-time extension could be granted by the UNDP-GEF Executive Coordinator, contingent on sufficient funds to cover such extension;

- The selection of the Colombo Landscape strategic grant proposals should give strong consideration to proposals that continue the revival of traditional cultivation on abandoned paddy lands (in response to conclusions drawn in Para 86). There are several strong reasons for this recommendation including:
 - this proposal would support sustained livelihoods for the most vulnerable families in the Colombo region;
 - this proposal has the potential for development beyond upscaling to a social enterprise considering the strong demand for organic rice and other organic produce under this program. As such, the farmer buy-in to organic cultivation will be strong and provide some resistance to urban development pressures onto the urban wetlands of Colombo;
 - the location of the strategic proposal for revival of abandoned paddy lands should be in areas east of the E02 toll highway to Galle. In this part of the landscape, there are lower risks related to implementation delays in comparison to wetlands west of the E02 toll highway (and in proximity to Colombo City) where implementation delays are likely to be experienced from larger landowners and government;
 - despite the areas east of the E02 toll highway not being within the Colombo jurisdiction, SLLRDC would strongly support such an initiative that could possibly be replicated within their jurisdiction west of the E02 toll highway.

88. To correct Project design, adjustments should be made for area targets for BD and LD in Outcome 2 that can be realistically achieved (as mentioned in Paras 38-49). For example, targets for reforestation, agro-ecological home gardens and grazing cannot be achieved due to prospective SGP grantees not proposing such initiatives. At this stage of SGP6, any attempts by the CPMU and the NSC to encourage prospective grantees to provide proposals to meet these targets will prove to be futile. Table 5 summarizes proposed new targets for Outcome 2 without changing the *objective level* targets of 20,000 ha for biodiversity and 15,000 ha for land degradation.

Table 5: Proposed new targets for Outcome 2

Indicator	Target in ProDoc (ha)	Indicative progress towards target (ha)	Proposed new target (ha)
Biodiversity (BD)	10,000	26,000	17,500
Reforestation (BD)	10,000	2,000	2,500
Wetland Rehabilitation (LD)	3,000	6,000	9,000
Soil Conservation (LD)	2,000	2,000	3,000
Agro-ecological/home gardens (LD)	8,000	2,000	3,000
Grazing (LD)	2,000	0	0
<i>Totals:</i>	<i>35,000</i>	<i>40,000</i>	<i>35,000</i>

89. To improve the monitoring and evaluation of the Project, the CPMU should continue:

- development of the SGP6 grant project database (as mentioned in Paras 64 and 65), complete with fields with information on the grantee, their addresses, disbursement levels, description of activities (with less than 100 words), and description of physical progress (which can be closely linked with key performance indicators (such as hectares of land rehabilitated or reforested etc.). Through the use of this new database, updating of progress and generation of SGP6 progress reports will be more efficient for the CPMU. This database is separate from the SGP database: <https://sgp.undp.org/projects-154.html> that does not have the capacities for efficient generation of progress reports;
- support for monitoring indicators that reflect improvements in environmental quality for a particular watershed (as mentioned in Para 64). This may include the monitoring of selected indicators that reflect water or soil quality prior to and after SGP interventions. Thoughtful consideration should be made for the selection of indicators to monitor (that may include water turbidity, BOD, and carbon content of soil) and the frequency of indicator monitoring (for example, annual monitoring of water quality just after the wet season).

90. Recommendations and proposals for future directions underlining main objectives are provided here as lower priority, and should be implemented according to available Project time and resources:

- For strategic grants, priority should be given to proposals where the grantee has the potential to transform their organization into a social enterprise that will also achieve conservation goals of the Small Grants Programme. Realizing the potential to transform into a social enterprise will also increase the independence of the grantee precluding future needs for external or donor assistance (in reference to Paras 55, 69, 79 and 83);
- In the preparation of ToRs for grant proposals, the CPMU should recruit and utilize the services of an experienced consultant or internal staff to prepare terms of reference that are specific in details in the context of how the grants may be seriously considered. This should reduce the number of appeals, or make it easier for the CPMU to respond to appeals from unsuccessful applicants (as previously mentioned in Paras 34 and 67). This will provide the CPMU stronger rationale for the disqualification of various grant applicants.

APPENDIX A – MISSION TERMS OF REFERENCE FOR SGP6 MTR

Title:	UNDP-GEF Midterm Review Consultant
Project:	Multiple
Duty station:	Home Based
Section/Unit:	NYSC SDC GMS
Contract/Level:	ICS-11/IICA-3
Supervisor:	Manager GMS, Mr. Edriss

1. General Background

The Small Grants Programme (SGP) is a corporate programme of the Global Environment Facility (GEF) implemented by the United Nations Development Programme (UNDP) since 1992. SGP grant-making in over 125 countries promotes community-based innovation, capacity development, and empowerment through sustainable development projects of local civil society organizations with special consideration for indigenous peoples, women, and youth. SGP has supported over 20,000 community-based projects in biodiversity conservation, climate change mitigation and adaptation, prevention of land degradation, protection of international waters, and reduction of the impact of chemicals, while generating sustainable livelihoods.

Since 2008, following an SGP Upgrading Policy, nine SGP Country Programmes (Bolivia, Brazil, Costa Rica, Ecuador, India, Kenya, Mexico, Pakistan, and Philippines) were upgraded at the beginning of OP-5 in 2011, with each of these country programmes becoming a separate Full Sized Project after cumulative grants disbursement of USD 6 million over 15 years. Another six SGP Country Programmes (Eqypt, Indonesia, Kazakhstan, Peru, Sri Lanka, and Thailand) were upgraded at the beginning of OP-6 in 2016. These 15 *Upgraded Country Programmes* (UCPs) follow the same programmatic approach as other SGP country programmes to achieve global benefits through local community and civil society action, but are placing an emphasis on integrated solutions at the landscape level that can address the combination of income, food security, environmental and social issues that confront rural communities. With each successive Operational Phase, SGP has refined its approach and streamlined its focus. This evolution has been marked by a gradual change from funding stand-alone projects during the original pilot phase, to building progressively greater levels of coherence, consolidation, and strategic focus within a County Programme's project portfolio. This has culminated in the adoption of the current *community-based landscape and seascape approach*, which forms a central feature of OP-6.

The proposed interventions are aimed at enhancing social and ecological resilience through community-based, community-driven projects to conserve biodiversity, optimize ecosystem services, manage land (particularly agro-ecosystems) and water sustainably, and mitigate climate change. The pilots will build on experiences and lessons learned from previous SGP operational phases, and lessons learned from the COMDEKS Programme, to assist community organizations in carrying out and coordinating projects in pursuit of outcomes they have identified in landscape plans and strategies. Coordinated community projects in the landscape will generate ecological, economic and social synergies that will produce greater and potentially longer-lasting global environmental benefits, as well as increased social capital and local sustainable development benefits. Multi-stakeholder groups will also take experience, lessons learned, and best practices from prior initiatives and implement a number of potential scaling up efforts during this project's lifetime.

2. Purpose and Scope of Assignment

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

The successful candidates will be assigned to conduct MTRs in the following SGP Country Programmes: Bolivia, Egypt, Peru, and Sri Lanka.

The MTR must provide evidence based information that is credible, reliable and useful. The MTR consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR consultant will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR consultant is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR consultant is expected to conduct field missions to SGP project sites.

3. Monitoring and Progress Controls

The MTR consultant will assess the following four categories of project progress. See the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for extended descriptions. Further guidance on specific questions to be addressed will be provided at the beginning of the assignment.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?

- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project’s logframe indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART ‘development’ indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.

- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.

- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR consultant will include a section of the report setting out the MTR’s evidence-based conclusions, in light of the findings.

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR consultant should make no more than 15 recommendations total.

Ratings

The MTR consultant will include its ratings of the project’s results and brief descriptions of the associated achievements in a MTR Ratings & Achievement Summary Table in the Executive Summary of the MTR report.

Table. MTR Ratings & Achievement Summary Table for (*Project Title*)

• Measure	• MTR Rating	• Achievement Description
• Project Strategy	• N/A	•
• Progress Towards Results	• Objective Achievement Rating: (rate 6 pt. scale)	•
	• Outcome 1 Achievement Rating: (rate 6 pt. scale)	•
	• Outcome 2 Achievement Rating: (rate 6 pt. scale)	•
	• Outcome 3 Achievement Rating: (rate 6 pt. scale)	•
	• Etc.	•

MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR consultant clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission	MTR consultant submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission	MTR consultant presents to project management and the Commissioning Unit
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFF
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

4. Qualifications and Experience

The consultant cannot have participated in the project preparation, formulation and/or implementation (including the writing of the Project Document and should not have a conflict of interest with project's related activities.

a. Education (Level and area of required and/or preferred education)

A Master's degree in environment, sustainable development, project management, or a related field.

b. Work Experience

- Minimum 9 years' experience in Results-based Management, biodiversity conservation, climate change or land degradation or related fields.
- Experience working with the GEF or GEF evaluations is considered desirable.
- Experience with the GEF Small Grants Programme will be considered an advantage
- Demonstrated understanding of issues related to gender and Biodiversity Conservation, Climate Change and Land Degradation
- Experience in gender sensitive evaluation and analysis is desired
- Project evaluation/review experiences within United Nations system will be considered an asset
- Fluency in English, spoken and written

c. Key Competencies



Develops and implements sustainable business strategies, thinks long term and externally in order to positively shape the organization. Anticipates and perceives the impact and implications of future decisions and activities on other parts of the organization.



Treats all individuals with respect; responds sensitively to differences and encourages others to do the same. Upholds organizational and ethical norms. Maintains high standards of trustworthiness. Role model for diversity and inclusion.



Acts as a positive role model contributing to the team spirit. Collaborates and supports the development of others. **For people managers only:** Acts as positive leadership role model, motivates, directs and inspires others to succeed, utilising appropriate leadership styles



Demonstrates understanding of the impact of own role on all partners and always puts the end beneficiary first. Builds and maintains strong external relationships and is a competent partner for others (if relevant to the role).



Efficiently establishes an appropriate course of action for self and/or others to accomplish a goal. Actions lead to total task accomplishment through concern for quality in all areas. Sees opportunities and takes the initiative to act on them. Understands that responsible use of resources maximizes our impact on our beneficiaries.



Open to change and flexible in a fast paced environment. Effectively adapts own approach to suit changing circumstances or requirements. Reflects on experiences and modifies own behaviour. Performance is consistent, even under pressure. Always pursues continuous improvements.



Evaluates data and courses of action to reach logical, pragmatic decisions. Takes an unbiased, rational approach with calculated risks. Applies innovation and creativity to problem-solving.



Expresses ideas or facts in a clear, concise and open manner. Communication indicates a consideration for the feelings and needs of others. Actively listens and proactively shares knowledge. Handles conflict effectively, by overcoming differences of opinion and finding common ground.

Project Authority (Name/Title):		Contract holder (Name/Title):	
Signature	Date	Signature	Date

APPENDIX B – MISSION ITINERARY (FOR MARCH 2019)

#	Activity	Stakeholder involved	Place
4 March 2019 (Monday)			
	Arrival of Roland Wong in Colombo		
5 March 2019 (Tuesday)			
1	MTR mission briefing with CPMU of SGP6	UNDP and SGP6 Team	Colombo
6 March 2019 (Wednesday)			
	Travel to Mahiyanganaya	UNDP and SGP6 Project Team	
2	Site visit to communities northwest of Hasalaka and Ratha Ella Falls	National Ethnic Unity Foundation	Udayagiriya Ampara near Hasalaka and Mahiyanganaya in buffer zone of the KCF
3	Meeting with Knuckles Technical advisor	SGP6	Mahiyanganaya
	Overnight stay at Mahiyanganaya		
7 March 2019 (Thursday)			
	Travel to Ududumbara and villages near Bopana		
4	Site visit and meeting with villagers of the KCF buffer zone area north of Ududumbara under the NGO, Community Development Centre	SGP grantee	KCF buffer zones north of Ududumbara near Dumbaragama and Kalugala
5	Meeting with Herpetological Association of Sri Lanka	SGP grantee	Mahiyanganaya
	Overnight stay at Mahiyanganaya		
8 March 2019 (Friday)			
	Travel to Narangamura communities within the KCF buffer zone and south of Pallegama		
6	Site visit with Dumbara Mituro Environmental & Cultural Society Management to Narangamura communities within the Knuckles Landscape	SGP grantee	Narangamura communities within the KCF buffer zone and south of Pallegama
7	Meeting with Mr. Ishan	Knuckles (AGA Assistant Government Agent)	Pallepola (8 km west of Madawala ulpatha)
	Travel to Anuradhapura and overnight stay		
9 March 2019 (Saturday)			

#	Activity	Stakeholder involved	Place
	Travel to Kowthaari Munai near Poonakary and south of Jaffna		
8	Site visit with Zoological Students Association - University of Jaffna on their community work in Kowthaari Munai near Poonakary	SGP grantee	Kowthaari Munai near Poonakary and south of Jaffna
	Travel to Jaffna		
9	Meeting with Centre for Environmental Studies, University of Peradeniya on their work on baseline assessments and landscape strategy formulation for the Mannar Island to Jaffna Landscape	SGP grantee	Jaffna
10 March 2019 (Sunday)			
	Travel to Vidathalativu, Mannar		
13	Site visit and meeting with Turtle Conservation Society in Vidathalativu community	SGP Grantee	Vidathalativu, Mannar
	Travel to Colombo		
11 March 2019 (Monday)			
14	Meeting with Mr. Roshan, M&E specialist	UNDP	Colombo
15	Site visit to Homagama sites with Mr. H. P. Piyatissa of WTSS, and their work on organic rice cultivation and agriculture	SGP grantee	Homagama
16	Meeting with Dr. Lalith Welamadage, Lanka Social Ventures	SGP NSC	Colombo
12 March 2019 (Tuesday)			
17	Site visit with OARM and their efforts to conserve a bird sanctuary located southeast of the Royal Colombo Golf Club	SGP grantee	Bird sanctuary located southeast of the Royal Colombo Golf Club
18	Meeting with Centre for Sustainability and their efforts to conserve and urban wetland and the construction of a visitor centre along Perera Mawatha	SGP grantee	Perera Mawatha in Colombo
19	Meeting with Dr Wijerathne and Ms. Chethika	SLLRDC	Colombo
20	Site meeting with Ms. Anya of the Small Cat Advocacy and Research	SGP grantee	Diyasaru Park, Thalawathugoda, Colombo

#	Activity	Stakeholder involved	Place
21	Meeting with Mr. Ruwan and Mr. Dushan of Sri Lanka Environment Exploration Society in care of Knuckles Knowledge Management	SGP grantee	Colombo
13 March 2019 (Wednesday)			
22	Debriefing meeting with Mr. Jorn Sorenson, Resident Representative, UNDP	UNDP	Colombo
23	Meeting with Ms. Sachini and Ms. Tikiri of Surakashi in care of Colombo Landscape Knowledge Management	SGP grantee	Colombo
24	Meeting with Ms. Visaka Hidellage, former Energy and Environment Cluster Leader for UNDP Sri Lanka	UNDP	Colombo
25	Meeting with Dr. Priyantha Wijesooriya, UNLESS NOW on their plans to secure forests for carbon sequestration	Potential co-financer	Colombo
26	Meeting with SGP Tourism Consultant, Mr. Rahula	SGP6 team	Colombo
14 March 2019 (Thursday)			
27	Meeting with BIOFIN Sri Lanka project	BIOFIN team	Colombo
28	Debriefing session with SGP6 NSC	UNDP and NSC	Colombo
	Departure of Roland Wong from Colombo		
20 March 2019 (Wednesday)			
29	Discussion with Chair of NSC	NSC	Skype call

Total number of meetings conducted: 29

APPENDIX C – LIST OF PERSONS INTERVIEWED

This is a listing of persons contacted during the Mid-Term Review Period only in Colombo, and in communities who were recipients of SGP grants. The Evaluation Team regrets any omissions to this list.

1. Mr. Jorn Sorenson, Resident Representative, UNDP Sri Lanka;
2. Ms. Tharuka Dissanaiké, NSC Member, Energy and Environment Cluster Leader, Policy and Design Specialist UNDP Sri Lanka;
3. Ms. Visaka Hidellage, Consultant and former Energy and Environment Cluster Leader, UNDP Sri Lanka;
4. Ms. Sureka Perera, Member NSC and Programme Quality and Design Analyst, UNDP Sri Lanka;
5. Mr. Roshon Raja, M&E Advisor, UNDP Sri Lanka;
6. Mr. Ramitha Wijethunga, NPC, BIOFIN Sri Lanka;
7. Ms. Dinali Jayasinghe, SGP6 National Project Coordinator;
8. Mr. Nuwan Perera, SGP6 Project Associate;
9. Dr. Wickramasinghe, Knuckles Technical Advisor, SGP6;
10. Mr. Rahula Perera, Ecotourism Consultant, SGP6;
11. Dr. Keerthi M. Mohotti, Chair NSC, Scientific Advisor for SGP6 and Deputy Director Research (Production), Tea Research Institute of Sri Lanka;
12. Mr. M.P.U.K. Mapa, Chair NSC and Additional Secretary, Environment Projects & Education Training, MoMDE;
13. Ms Pathma Abaykoon, NSC Member, Director Biodiversity, MoMDE;
14. Mr Ajith Silva, NSC Member, Director Land Degradation, MoMDE;
15. Centre for Women’s Research – CENWOR;
16. Mr. Suranjan Kodituwakku, NSC Member, National Coordinator, Sri Lanka Nature Forum;
17. Dr. Raji Gnaneswaran, NSC Member, Department of Zoology, University of Jaffna;
18. Mr. Sarinda Unamboowa, NSC Member, CEO and Managing Director MAS KREEDA, MAS Holdings;
19. Mr. Gayan K. Udugama, SGP6 Youth Advisor, PCB project UNIDO;

20. Ms. S.A.M. Azmy, Member NSC, Scientific Advisor and Arthacharya Foundation;
21. Mr. Sujatha Wijethilaka, Member NSC, NGO Management Development;
22. Ms. Achala Samaradiwakara, Member NSC, Director of Good Market;
23. Dr. Lalith Welamadage, Member NSC, Managing Director/CEO of Lanka Social Ventures;
24. Dr. Soma S. De Silva, NSC Member, Dhamrivi Foundation;
25. Mr. Vidhura Relapanawe, NSC Member, Federation of Environmental Organizations;
26. Mr B.W. Gunasekara, National Ethnic Unity Foundation, meeting at Udayagiriya Ampara near Hasalaka and Mahiyanganaya in the buffer zone of the KCF;
27. Mr. K. A. Nimal Ananda, Dumbara Mituro Environmental & Cultural Society Management, meeting at Narangamura communities within the KCF buffer zone and south of Pallegama;
28. Ms. Damayanthi Godamulla, Community Development Centre, Aranayake, meeting at KCF buffer zones north of Ududumbara near Dumbaragama and Kalugala;
29. Community living in KCF buffer zones north of Ududumbara near Dumbaragama and Kalugala;
30. Mr. Mendis Wickramasinghe, Herpetological Foundation of Sri Lanka, meeting at Mahiyanganaya;
31. Mrs. Wickramasinghe, Herpetological Foundation of Sri Lanka, meeting at Mahiyanganaya;
32. Mr. Perera, Knuckles Government Agent (GA), meeting at Pallepola (8 km west of Madawala ulpatha);
33. Mr. Ishan, Knuckles Assistant Government Agent (AGA), meeting at Pallepola (8 km west of Madawala ulpatha);
34. Prof Ranawana, University of Peradeniya, meeting in Jaffna;
35. Mr. Thushan Kapurusinghe, Director, Turtle Conservation Project, meeting at Vidathalativu, Mannar;
36. Mr. S. Arthiyan, Department of Zoology, Faculty of Science, University of Jaffna, meeting at Kowthaari Munai near Poonakary;
37. Mr. H. P. Piyatissa, Wanasarana Thurulatha Swechcha Society, meeting at Homagama;
38. Mr Shantha Jayaweera, Organization for Aquatic Resource Management, Colombo;
39. Dr Wijerathne, Director, SLLRDC;

40. Ms. Chethika, Environment Scientist SLLRDC;
41. Ms. Isuri, Environment Officer SLLRDC;
42. Ms. Anya Ratnayaka, Small Cat Advocacy and Research, Colombo;
43. Mr. Dushan Samaranayake, Sri Lanka Environment Exploration Society, Colombo;
44. Ms Sachini, Surakshi Women for Conservation, Colombo;
45. Ms. Tikiri, Surakshi Women for Conservation, Colombo;
46. Dr. Priyantha Wijesooriya, UNLESS NOW, Colombo.

APPENDIX D – LIST OF DOCUMENTS REVIEWED

1. Project Document for SGP6 Project, November 2016;
2. SGP6 Project Inception Presentation, March 2017;
3. SGP6 Project Implementation Review (PIRs) for 2018;
4. SGP6 NSC minutes and presentations from August 2017 to January 2019 (13 meeting minutes);
5. SGP6 Project field visit reports (8 reports);
6. Landscape Strategy for Knuckles Conservation Forest and Buffer Zone, January 2018;
7. Landscape Strategy for Coastal Region from Mannar island to Jaffna, February 2018;
8. Landscape Strategy for Colombo Wetlands Region, December 2017;
9. SGP6 Project Information Summaries for the 3 landscapes (6 projects for Knuckles, 4 for Mannar, and 8 for Colombo);
10. Government of Sri Lanka report on “Metro Colombo Wetland Management Strategy”, Report No. MCUDP/PHRD/03, Signes, January 2016;
11. “Report on Technical Advice on Ecotourism to Projects in Knuckles, Mannar and Colombo” by Rahula Perera, February 2019;
12. Files on SGP6 website available on: <http://www.gefsgpsl.org/GEF-SGP-OPERATIONAL-PHASE%2006English.aspx>;
13. SGP Operational Guidelines available on: <https://www.sgp.undp.org/key-documents-191/...sgp...operational-guidelines/file.html>

APPENDIX E – PROJECT RESULTS FRAMEWORK FOR SGP6 PROJECT (FROM NOVEMBER 2016)

Outcome	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
<p><u>Project Objective</u> To enable community-based organizations to take collective action for adaptive landscape management for socio-ecological resilience through design, implementation, and evaluation of grant projects for global environmental benefits and local sustainable development in three ecologically sensitive landscapes: the Knuckles Conservation Forest and its buffer zone, the coastal region from Mannar Island to Jaffna, and the Colombo Wetlands</p> <p><u>Component 1</u> Resilient rural landscapes for sustainable development and global environmental protection</p>	<ul style="list-style-type: none"> • Area, across three landscapes, of sustainably managed production landscapes that conserve biodiversity and enhance ecosystem services • Area of degraded lands in three project landscapes that are benefitting from land rehabilitation activities • Number of stakeholders actively engaged in and benefitting from local project activities 	<ul style="list-style-type: none"> • Socio-economic activities in the three landscapes lead to degraded habitats, including deterioration of ecosystem quality, increased risk of desertification, and increased risk of communities to the impacts of climate change • Landscapes have benefitted from small grant projects. In the three landscapes projects have not been as extensive or strategically coordinated to achieve landscape synergies and impacts • A number of awareness-raising activities have either been implemented or are underway, but these are not organized as a coherent landscape strategy/programme 	<ul style="list-style-type: none"> • At least 20,000 hectares, across three production landscapes, of sustainably managed production landscapes that conserve biodiversity and enhance ecosystem services, including 650 hectares of forest for carbon storage • At least 15,000 hectares of degraded lands in three project landscapes under sustainable land management benefitting from land rehabilitation activities • At least 250 individuals in each of the three landscapes actively participating and benefitting from local field-based project activities; 	<ul style="list-style-type: none"> • Baseline assessment reports determine precise baseline indicators • Use of aerial photos to create maps of land use and forest cover and monitor progress • Project performance reports (APR/PIR, independent final evaluation) • Workshop reports • Meeting minutes 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> • NGOs and government agencies support community-based organizations and civil society for the adaptive collaborative management and long-term sustainability of the positive outcomes of the individual small grants projects • The low capacities of civil society organizations to implement grant projects can be overcome, improved and sustained • Much of the project documentation and workshops must be conducted in local languages to ensure comprehension <p><u>Risks</u></p> <ul style="list-style-type: none"> • The impacts of climate change undermine efforts to make incremental and sustained conservation of biodiverse ecosystems and rehabilitation of degraded lands
<u>Outcome 1:</u>	<ul style="list-style-type: none"> • A multi-stakeholder group on landscape 	<ul style="list-style-type: none"> • Networks of civil society associations, community- 	<ul style="list-style-type: none"> • One multi-stakeholder working group per landscape is 	<ul style="list-style-type: none"> • Baseline survey and assessment reports 	<u>Assumptions</u>

Outcome	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
Multi-stakeholder partnerships in three ecologically sensitive landscapes develop and execute management plans to enhance socio-ecological landscape resilience and global environmental benefits	<p>planning and management organized for each of the selected landscapes</p> <ul style="list-style-type: none"> • A strategy to achieve greater social and ecological resilience for each landscape • A typology of community level initiatives in each landscape needed to achieve landscape outcomes • Formal cooperative agreements between community organizations and other partners in each landscape to pursue the outcomes of each strategy through community and landscape level projects 	<p>based organizations, and other non-governmental organizations were organized under the GEF 5 Small Grant Programme, but not in the project landscapes and they no longer convene</p> <ul style="list-style-type: none"> • Experts and other specialists are available to provide <i>ad hoc</i> support to local initiatives but will require an institutional mechanism and remuneration 	<p>operational with agreed TORs (3)</p> <ul style="list-style-type: none"> • One comprehensive socio-ecological baseline assessment for each landscape (3) • Three landscape management strategies and plans prepared and then approved by the National Steering Committee • Landscape specific typologies (3) of community level projects and eligibility criteria formulated by multi-stakeholder groups in each landscape • At least ten signed formal agreements between community organizations and other partners in each landscape to pursue the outcomes of each strategy through community and landscape level projects 	<ul style="list-style-type: none"> • Maps of land use and forest cover • Project performance reports (APR/PIR, independent final evaluation) • Workshop reports • Meeting minutes • Terms of references of consultative mechanisms • Cooperative and collaborative memoranda of agreement • Small grant project proposals submitted by community-based organizations and civil society entities • Monitoring and evaluation reports of small grant project partners 	<ul style="list-style-type: none"> • Local stakeholders actively engage in the work of the multi-stakeholder platforms • A critical mass of local community-based organizations in the three landscapes will propose eligible projects <p>Risks</p> <ul style="list-style-type: none"> • Political and stakeholder support to establish and institutionally sustain multi-stakeholder groups wanes (low risk) • Insufficient technical expertise to ensure high quality performance of grant projects (low risk)
<u>Outcome 2:</u> Community-based organizations in landscape level networks build their adaptive management capacities by implementing projects and collaborating in landscape management	<ul style="list-style-type: none"> • Area (hectares) under protection or sustainable use for biodiversity conservation or improved ecosystem function • Area (hectares) of reforested and/or afforested lands • Area (hectares) of degraded wetlands rehabilitated • Area (hectares) of forest cover lands set aside for carbon sequestration 	<ul style="list-style-type: none"> • Procedures under the GEF 5 Small Grant Programme are known at the national level but less known in the new targeted landscapes and communities • 50 civil society associations, community-based organizations and other non-governmental organizations benefited from grant grants under the GEF 5 programme but 	<ul style="list-style-type: none"> • At least 10,000 hectares under protection or sustainable use for biodiversity conservation or improved ecosystem function – community conservation areas, ecotourism development, NTFPs, human-animal conflicts, etc. • At least 10,000 hectares under reforestation or farmer managed natural regeneration • At least 3,000 hectares of degraded wetlands rehabilitated 	<ul style="list-style-type: none"> • Meeting minutes • Workshop reports • Terms of references of consultative mechanisms • Cooperative and collaborative memoranda of agreement • Small grant project proposals submitted and approved • Baseline surveys and assessments 	<p>Assumptions</p> <ul style="list-style-type: none"> • There is sufficient interest and engagement from local stakeholders to implement eligible small grant projects • There is at least one NGO that has the capacity to provide technical backstopping to grantees of small grant projects in each landscape

Outcome	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	<ul style="list-style-type: none"> Area (hectares) of land rehabilitated through best practice soil conservation measures Area of land under improved grazing regimes Area of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources Number of individuals in the communities that have benefited from new sustainable alternative livelihood options 	were scattered throughout Sri Lanka and their individual objectives and interventions were not strategically coordinated with each other	<ul style="list-style-type: none"> At least 650 hectares of forest cover lands set aside for carbon sequestration leading to mitigation of at least 25,000 metric tons of CO₂³¹ At least 2,000 hectares of land rehabilitated through best practice soil conservation measures and agroforestry At least 2,000 hectares under improved grazing regimes At least 8,000 hectares of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources At least 200 individuals in the communities have benefited from new sustainable alternative livelihood options 	<ul style="list-style-type: none"> Monitoring and evaluation reports of small grant project beneficiaries 	
<p>Outcome 3:</p> <p>Multi-stakeholder partnerships develop and implement projects that catalyze the adoption of successful SGP-supported technologies, practices, or systems</p>	<p>Number of strategic projects supporting broader adoption of successful small grant project lessons</p> <p>Number of community members in each of the three landscapes who have participated in the design and implementation of their respective scaling-up strategic project</p>	<ul style="list-style-type: none"> Local development activities receive <i>ad hoc</i> support from an informal network of local NGOs and CBOs in the project landscapes Better practices and lessons have been learned from the GEF 5 SGP No attempts at stimulating broader adoption of small grant successes from the GEF 5 	<ul style="list-style-type: none"> Three strategic projects to enable and facilitate upscaling of successful SGP-supported initiatives: potential lines of work include biodigestors; production, marketing and sale of underutilized crops or crop varieties; and value addition to products harvested sustainably from wetlands or forests At least 250 local community representatives in each of the three landscapes have participated in the design and 	<ul style="list-style-type: none"> Meeting minutes Workshop reports Terms of references of consultative mechanisms Cooperative and collaborative memoranda of agreement Project documents for strategic projects; NSC minutes 	<p>Assumptions</p> <p>NGOs and government agencies will support community-based organizations in the design and implementation of strategic initiatives to stimulate broader adoption of successful small grants projects.</p> <p>Risks</p> <ul style="list-style-type: none"> Community based organizations maintain

³¹ The conservative estimate of carbon capture by tropical forest in Sri Lanka used here is 40 tons of CO₂ per hectare per rotation of 20 years.

Outcome	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
		program have been attempted	implementation of the scaling-up strategic project.		a low level of technical and management capacity to implement grant projects <ul style="list-style-type: none"> Market conditions may decline and de-incentivize producers from participating in projects
Outcome 4: Multi-stakeholder landscape policy platforms will discuss potential policy innovations based on analysis of project experience and lessons learned	<ul style="list-style-type: none"> Existence of operational multi-stakeholder governance platforms in the three landscapes, including local and higher levels of government, NGOs, academics, second level organizations, and others Number of case studies summarizing lessons learned and best practices, based on evaluation of implementation results at the landscape level Awareness and knowledge of best practices promoted through knowledge sharing events and capacity building activities. 	<ul style="list-style-type: none"> Mainstreaming of lessons learned and best practices of small grant projects under the GEF 5 programme was pursued through awareness-raising activities and not institutionalized as a formal mechanism with line ministries and agencies Lessons learned from the GEF 5 Small Grant Programme have been promoted through brochures, booklets and ad hoc presentations in-country, but there is no specific communication strategy or plan for long-term promotion of best practices 	<ul style="list-style-type: none"> Three (3) multi-stakeholder governance platforms have convened at least twice per year and are institutionalized through formal agreements at the District and Division levels to ensure post-project continuance of their services At least one case study per target landscape summarizing lessons learned and best practices, based on evaluation of implementation results. At least 500 project stakeholder participants have actively engaged in analysis of project experience and landscape management and have participated in platform workshops and dialogues Communication strategy is developed and operational 	<ul style="list-style-type: none"> Meeting minutes Workshop reports Terms of references of consultative mechanisms Cooperative and collaborative memoranda of agreement Small grant project proposals submitted by community-based organizations and civil society entities Baseline surveys and assessments Monitoring and evaluation reports of small grant project beneficiaries 	<p>Assumptions</p> <ul style="list-style-type: none"> New partnerships develop between government institutions and local stakeholders Local, regional and national level government officials will participate in discussions and analyses of lessons learned and potential policy applications

APPENDIX F – SAMPLE LISTING OF SGP6 GRANT PROJECTS

The following table is provided to illustrate the structure for a useful database for SGP projects in Sri Lanka. With this format, the table is filled in with information on 33 SGP grants available to the MTR Consultant. There are another 1 SGP grant that is not listed in this table.

S.N	Name of the Project Partner & Address	Name of the Project	Grant Amount (US\$)	Weblink	Assessment of progress	Reasons
Mannar Landscape						
SRL/SGP/OP6/STAR/BD/2018/01	Turtle Conservation Project, 2/4, Old Galle Road Panadura , Western , 12500	Promoting the Wise Use of Marine and Coastal Habitats by Coastal Communities through Education and Incentives in Vidathalativu, Mannar	35,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26691	Satisfactory	Ongoing activities to familiarize community with sustainable use of natural resources from marine ecosystems, and towards generation of sustainable incomes from ecotourism and other revenue generation activities.
SRL/SGP/OP6/STAR/BD/2018/02	Marine and Coastal Resource Conservation, No. 5/5,Hill Street Kalpitiya	A Community Driven Surveillance and Reef Monitoring Mechanism to Ensure Sustainable Management of Vankalei Coral Reef	35,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26689		
SRL/SGP/OP6/STAR/BD/2018/03	Socio Economic Development Association, Petta, Convent Road, Mannar	Promote Environment Friendly Eco System Development and Sustainable Land Use Practices in Schools	25,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26690		
SRL/SGP/OP6/STAR/BD/2018/04	Zoological Students Association - University of Jaffna, Jaffna , Northern Province	Promoting Home Stay Based Eco-Tourism through Sustainable Use of Coastal Biodiversity	35,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26675	Satisfactory	Ongoing training for home-based handicrafts and organic home-based agriculture as well as rehabilitation of mangrove vegetation along northern shore of peninsula.
SRL/SGP/OP6/STAR/BD/2018/19	Ecological Association Sri Lanka	A study of salt marshes and mangroves in the coastal	30,000			

S.N	Name of the Project Partner & Address	Name of the Project	Grant Amount (US\$)	Weblink	Assessment of progress	Reasons
		area from Malwatuoya to Pooneryn in the Northwestern coastal region of Sri Lanka.				
SRL/SGP/OP6/STARR/CC/2019/28	Soba Kantha Environment and Community Development Foundation	Introduction of new fishing techniques and no fishing zones to curtail excessive fishing in the Thalaimannar Pier Coastal area across 131 hectares and introduce environment friendly techniques to promote dry fish production to ensure sustainability among low income fishing	30,000			
Knuckles Landscape						
SRL/SGP/OP6/STARR/BD/2017/06	National Ethnic Unity Foundation, 24/18/1, Police Quarters Road, Udayagiriya Ampara	Conserving the Ratna Ella Conservation Forest and Developing Eco-Tourism Activities for Community Livelihoods	40,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26561	Moderately Satisfactory	Observed new visitors center, and construction of 2 houses for homestays. Project does need assistance of an ecotourism consultant to transform current project activities towards an income generating entity for tourists.
SRL/SGP/OP6/STARR/BD/2018/07	Centre for Integrated Indigenous Knowledge, 47A, Palapathwala, Wahakotte	Promoting Biodiversity Conservation in 3 Villages, Minimizing Human-Animal Conflict and Developing Eco-Tourism Activities	40,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26651		
SRL/SGP/OP6/STARR/BD/2018/08	Dumbara Mithuro Environmental Conservation Foundation, Arangala, Naula	Biodiversity Conservation in Four Villages in the Knuckles Conservation Forest through Community Participation	40,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26647	Satisfactory	Observed conservation efforts and watershed restoration activities by grantee, efforts to market tourism guides in the area. Efforts would be bolstered by an eco-tourism consultant who can identify further efforts to properly

S.N	Name of the Project Partner & Address	Name of the Project	Grant Amount (US\$)	Weblink	Assessment of progress	Reasons
						market their efforts to the tourism industry.
SRL/SGP/OP6/STARR/BD/2018/09	Herpetological Association Sri Lanka, 31/5, Alwis Town, Hendala Wattala, Western Province	Protecting the Herpetofaunal Point Endemic Species for Strengthening the Conservation Status of the Knuckles Landscape	35,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26646	Satisfactory	Provided with presentation on efforts to identify over 8 red-listed frogs, snakes and other reptiles. This information has been used to halt infrastructure projects such as parking lots in habitat sensitive areas.
SRL/SGP/OP6/STARR/BD/2017/10	Arunalu Community Development Centre, 113/24, 4th Lane, Samandawa Road, Aluwihare, Matale, Central province	Biodiversity Conservation and Eco-System Enhancement in the Theligamu Oya Watershed	40,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26595		
SRL/SGP/OP6/STARR/BD/2018/20	Anurudha Arana Trust	Biodiversity Conservation and Livelihood Development Through Integrated Village Development in Medaela and Kahagala Area.	30,000			
SRL/SGP/OP6/STARR/LD/2018/21	Community Resource Protection Centre	Project on Green Village Eco Tourism Model in the Knuckles Valley.	30,000			
SRL/SGP/OP6/STARR/BD/2018/22	Nirmanee Development Foundation	Developing Eco-Tourism Services in the Narangamuwa and Lakegala GN Divisions.	30,000			
SRL/SGP/OP6/STARR/LD/2018/23	Rangiri Thakshana Piyasa	Introduce Sustainable Land Management Practices to Illukkumbura and Mahalakotuwa sites.	30,000			
SRL/SGP/OP6/STARR/LD/2018/24	Community Development Center	Productivity and Sustainability Improvement of Agro Eco-System in the Knuckles Buffer Zone and Livelihood Development.	30,000			

S.N	Name of the Project Partner & Address	Name of the Project	Grant Amount (US\$)	Weblink	Assessment of progress	Reasons
SRL/SGP/OP6/STARR/LD/2018/25	People's Livelihood Development Foundation	Conservation of biodiversity in 160 Hectares of Land in Four Villages in Minipe DS Division in Kandy District.	30,000			
SRL/SGP/OP6/STARR/LD/2019/27	Grama Abhiwurdhi Foundation for Environmental Conservation	Develop 100 acres of abandoned tea lands in the Medawatta Estate in Rattota as environmental servicing lands	30,000			
Colombo Landscape						
SRL/SGP/OP6/STARR/BD/2018/11	Wanasarana Thurulatha Swechcha Society, 369/25/3, 2 nd Lane, Shanthi Mw, Makubura, Pannipitiya	Cultivate 30ha of Barren Paddy Fields Abandoned for Decades, with Traditional Paddy Varieties and 10ha of Koratu Lands with Vegetable Crops in Walpita Wetlands of Homagama Agrarian Division by Local Farmers	25,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26560	Satisfactory	A number of paddy fields and agricultural land plots have been revived with traditional rice and vegetable cultivation without the use of chemicals. The results have been satisfactory to the local farmers who are increasing their income through the sale of organic produce and rice. Fish were observed in all watercourses on this project indicating excellent water quality.
SRL/SGP/OP6/STARR/BD/2018/12	Mihimaw Science Foundation, 10T Horatuduwa Rod Polgasowita	Rehabilitation and Sustainable Use of a Selected Wetland Agro Eco-system in Homagama DS Division	50,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26651		
SRL/SGP/OP6/STARR/LD/2018/13	Public Interest Law Foundation, 2 nd Floor, Vidya Mandhiraya, No 120/10, Wijerama Mw, Colombo 7	Giving Legal Status to the Mattegoda and Polgasowita Wetlands as Protected Areas	30,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26647		
SRL/SGP/OP6/STARR/LD/2018/14	Emotional Intelligence and Life Skills Training Team, 116/2, Kesbawa	An Initiative on Wetland Conservation and Livelihood Enhancement by a Youth Community Group	40,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-		

S.N	Name of the Project Partner & Address	Name of the Project	Grant Amount (US\$)	Weblink	Assessment of progress	Reasons
	Raod Boralesgamuwa			project-detailpage.html?view=project-detail&id=26646		
SRL/SGP/OP6/STARR/BD/2018/15	Organization for Aquatic Resource Management, 9/5, Nagahamulla Raod Kollonnawa	Habitat Restoration and Enrichment Project for the Heen Ela Marsh, Rajagiriya, Colombo	50,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26595	Satisfactory	Progress being made to protect and enhance aquatic bird species habitat in an urban wetland. Activities underway for enhancing an ecotourism business to transport tourists into the heart of the wetland.
SRL/SGP/OP6/STARR/LD/2018/16	People to People Volunteers, 10, Thalahena, Negombo	Wetland Eco-system Conservation around Thalagama Tank	35,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26650		
SRL/SGP/OP6/STARR/BD/2018/17	Centre for Sustainability – University of Sri Jayawardenapura, Colombo	Restoration and Sustainable Management of Madinnagoda Wetland Ecosystem	50,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26596		
SRL/SGP/OP6/STARR/BD/2018/18	Small Cat Advocacy and Research, 381/14, Spring Hills Estate, Bowalawatta, Kandy, Central Province	Urban Fishing Cat Conservation Project	25,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26652	Satisfactory	Software system setup to track movement of these cats within the urban wetland landscapes. Awareness raising events have been held on
SRL/SGP/OP6/STARR/BD/2018/26	Center for Environmental Justice	Improve and maintain ecosystem services by strengthening participatory land use planning and management of Wetlands in Colombo	25,000			

S.N	Name of the Project Partner & Address	Name of the Project	Grant Amount (US\$)	Weblink	Assessment of progress	Reasons
Knowledge Management						
SRL/SGP/OP6/STARR/CD/2017/04	Sri Lanka Environmental Exploration Society, 504, Kandy Road, Meepitiya, Kegalle.	Capacity Building and Knowledge Management of the Project Partners of GEF Small Grants Projects implemented in Knuckles Conservatory area	50,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26138	Satisfactory	Actively working with 12 NGOs in the Knuckles Conservatory Area in building local capacity, assisting NGOs in promoting sustainable livelihoods, designing and hosting the SGP. A compilation of successful SGP projects is being prepared.
SRL/SGP/OP6/STARR/CD/2017/05	Mannar Eco Friends, Sirunthanathan, World No 8, Pesalle Mannar	Capacity Building and Knowledge Management of the Project Partners of GEF Small Grants Projects implemented in the Coastal Region from Mannar Island to Jaffna	50,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26139	Unsatisfactory	Grantee unresponsive to requests for progress or reasons for delays.
SRL/SGP/OP6/STARR/CD/2017/06	Surakshi Women for Conservation, 21/25, POlhengoda Gardens Colombo 5	Capacity Building and Knowledge Management of the Project Partners of GEF Small Grants Projects implemented in the Urban Wetlands of Colombo	50,000	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=26140	Satisfactory	Actively assisting SGP grantees, communities, and other stakeholders in the Colombo Urban Wetland Landscape to network, share and document best practices and lessons learnt, develop capacities and skills to maintain their initiatives to influence policy.
Landscape Strategies						
SRL/SGP/OP6/STARR/CD/2017/01	Environmental Foundation (Guarantee) Limited, 3A First Lane, High Level Road, Kirulapone Colombo	Landscape Baseline Assessment and Landscape strategy for the Knuckles Conservation Forest and Buffer Zone by Environmental Foundation (Guarantee) Limited	17,739	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=project-detail&id=25576	Satisfactory	Completed in January 2018 with landscape-scaled approaches to conservation of the Knuckles Forest utilizing public-private partnerships.
SRL/SGP/OP6/STARR/CD/2017/02	University of Colombo, Colombo 3 , 00300	Landscape Baseline Assessment and Landscape Strategy for the Upgrading GEF SGP Country Programme in Sri Lanka - Colombo Wetlands	19,474	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-	Satisfactory	Completed in December 2017 with strategies to strengthen local NGOs and stakeholders to counter development pressures and environmental degradation from the urban areas of Colombo.

S.N	Name of the Project Partner & Address	Name of the Project	Grant Amount (US\$)	Weblink	Assessment of progress	Reasons
				detailpage.html?view=projectdetail&id=25597		
SRL/SGP/OP6/STAR/CD/2017/03	Centre for Environmental Studies, University of Peradeniya, Peradeniya, Kandy, 20000	Baseline Assessment and Landscape Strategy for Mannar to Jaffna Coastal Region for the Sri Lanka SGP Upgrading Country Program	28,102	https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results/spacial-itemid-project-detailpage.html?view=projectdetail&id=25596	Satisfactory	Collection of valuable baseline information on mapping invasive species (<i>Prosopis juliflora</i>) along this landscape.

APPENDIX G – GEF CORE INDICATORS AT MTR FOR SGP6 SRI LANKA [PIMS ID 5529] [31 MAY 2019]

Instructions: Select all indicators relevant to the given project. Enter data for the present stage, not for future stages. Note that Core Indicator 11 is mandatory for all projects. For projects under development, integrate Core Indicators into the project Results Framework, ideally at the objective level.

Contents

Core Indicator 1: Terrestrial protected areas created or under improved management for conservation and sustainable use (hectares)	67
Core Indicator 2: Marine protected areas created or under improved management for conservation and sustainable use (hectares)	68
Core Indicator 3: Area of land restored (hectares)	69
Core Indicator 4: Area of landscapes under improved practices (hectares; excluding protected areas)	70
Core Indicator 5: Area of marine habitat under improved practices to benefit biodiversity (hectares; excluding protected areas)	71
Total area under improved management (in PIF and CEO ER Table F)	71
Core Indicator 6: Greenhouse gas emissions mitigated (metric tons of carbon dioxide equivalent)	72
Core Indicator 7: Number of shared water ecosystems (fresh or marine) under new or improved cooperative management	74
Core Indicator 8: Globally over-exploited fisheries moved to more sustainable levels (metric tons)	75
Core Indicator 9: Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials, and products (metric tons of toxic chemicals reduced)	76
Core Indicator 10: Reduction, avoidance of emissions of POPs to air from point and non-point sources (gTEQ)	77
Core Indicator 11: Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	78

General Comments: provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicator targets are not provided

1. CORE INDICATOR 1: TERRESTRIAL PROTECTED AREAS CREATED OR UNDER IMPROVED MANAGEMENT FOR CONSERVATION AND SUSTAINABLE USE (HECTARES)

Ha (expected at PIF)	Ha (expected at CEO ER)	Ha (achieved at MTR)	Ha (achieved at TE)

Figure at a given stage must be the sum of all figures reported under the two sub-indicators (1.1 and 1.2) for that stage.

1.1 Terrestrial protected areas newly created

Total Ha (expected at PIF)	Total Ha (expected at CEO ER)	Total Ha (achieved at MTR)	Total Ha (achieved at TE)
N/A	N/A	N/A	N/A

Figure at a given stage must be the sum of all individual PAs reported in the next table, for that stage.

Name of Protected Area	WDPA ID	IUCN Category	Total Ha (expected at PIF)	Total Ha (expected at CEO ER)	Total Ha (achieved at MTR)	Total Ha (achieved at TE)
N/A						

Add rows as needed.

Name of Protected Area	METT Score at CEO ER	METT Score at MTR	METT Score at TE
N/A			

Add rows as needed; ensure all relevant PAs are listed in both this and the previous table. Note no METT score at PIF.

1.2 Terrestrial protected areas under improved management effectiveness

Total Ha (expected at PIF)	Total Ha (expected at CEO ER)	Total Ha (achieved at MTR)	Total Ha (achieved at TE)
	10850(Forest) (Knuckles conservation Forest)	10850	10850
	319(Selected Colombo wetlands)	205	319

Figure at a given stage must be the sum of all individual PAs reported in the next table, for that stage.

Name of Protected Area	WDPA ID	IUCN Category	Total Ha (expected at PIF)	Total Ha (expected at CEO ER)	Total Ha (achieved at MTR)	Total Ha (achieved at TE)
Knuckles conservation Forest)						
Selected Colombo wetlands						

Add rows as needed.

Name of Protected Area	METT Score at CEO ER	METT Score at MTR	METT Score at TE

2. CORE INDICATOR 2: MARINE PROTECTED AREAS CREATED OR UNDER IMPROVED MANAGEMENT FOR CONSERVATION AND SUSTAINABLE USE (HECTARES)

Ha (expected at PIF)	Ha (expected at CEO ER)	Ha (achieved at MTR)	Ha (achieved at TE)

Figure at a given stage must be the sum of all figures reported under the two sub-indicators (2.1 and 2.2) for that stage.

2.1 Marine protected areas newly created

Total Ha (expected at PIF)	Total Ha (expected at CEO ER)	Total Ha (achieved at MTR)	Total Ha (achieved at TE)
	N/A	N/A	N/A

Figure at a given stage must be the sum of all individual PAs reported in the next table, for that stage.

Name of Protected Area	WDPA ID	IUCN Category	Total Ha (expected at PIF)	Total Ha (expected at CEO ER)	Total Ha (achieved at MTR)	Total Ha (achieved at TE)
N/A						

Add rows as needed.

Name of Protected Area	METT Score at CEO ER	METT Score at MTR	METT Score at TE

Add rows as needed; ensure all relevant PAs are listed in both this and the previous table. Note no METT score at PIF.

2.2 Marine protected areas under improved management effectiveness

Total Ha (expected at PIF)	Total Ha (expected at CEO ER)	Total Ha (achieved at MTR)	Total Ha (achieved at TE)
	4000	10000	4000

Figure at a given stage must be the sum of all individual PAs reported in the next table, for that stage.

Name of Protected Area	WDPA ID	IUCN Category	Total Ha (expected at PIF)	Total Ha (expected at CEO ER)	Total Ha (achieved at MTR)	Total Ha (achieved at TE)
Vedithalathiu Coral reef and Marine sanctuary and Protected lands of Mannar to Jaffna Coastal line						

Add rows as needed.

Name of Protected Area	METT Score at CEO ER	METT Score at MTR	METT Score at TE

3. CORE INDICATOR 3: AREA OF LAND RESTORED (HECTARES)

Ha (expected at PIF)	Ha (expected at CEO ER)	Ha (achieved at MTR)	Ha (achieved at TE)
	14,500	10,000	

Figure at a given stage must be the sum of all figures reported under the four sub-indicators (3.1, 3.2, 3.3 and 3.4) for that stage.

3.1 Area of degraded agricultural lands restored

Ha (expected at PIF)	Ha (expected at CEO ER)	Ha (achieved at MTR)	Ha (achieved at TE)
	3000	2000	

3.2 Area of forest and forest land restored

Ha (expected at PIF)	Ha (expected at CEO ER)	Ha (achieved at MTR)	Ha (achieved at TE)
	2500	2000	

3.3 Area of natural grass and shrublands restored

Ha (expected at PIF)	Ha (expected at CEO ER)	Ha (achieved at MTR)	Ha (achieved at TE)
	N/A	N/A	N/A

3.4 Area of wetlands (including estuaries and mangroves) restored

Ha (expected at PIF)	Ha (expected at CEO ER)	Ha (achieved at MTR)	Ha (achieved at TE)
	9000	6000	

4. CORE INDICATOR 4: AREA OF LANDSCAPES UNDER IMPROVED PRACTICES (HECTARES; EXCLUDING PROTECTED AREAS)

Ha (expected at PIF)	Ha (expected at CEO ER)	Ha (achieved at MTR)	Ha (achieved at TE)
	20,500	28,000	

Figure at a given stage must be the sum of all figures reported under the four sub-indicators (4.1, 4.2, 4.3 and 4.4) for that stage.

4.1 Area of landscapes under improved management to benefit biodiversity (qualitative assessment, noncertified)

Ha (expected at PIF)	Qualitative description at PIF	Ha (expected at CEO ER)	Qualitative description at CEO ER	Ha (achieved at MTR)	Qualitative description at MTR	Ha (achieved at TE)	Qualitative description at TE
		17,500	Biodiversity Conservation	26,000	Biodiversity Conservation		

4.2 Area of landscapes that meet national or international third-party certification and that incorporates biodiversity considerations

Ha (expected at PIF)	Type of Certification at PIF	Ha (expected at CEO ER)	Type of Certification at CEO ER	Ha (achieved at MTR)	Type of Certification at MTR	Ha (achieved at TE)	Type of Certification at TE
	N/A						

4.3 Area of landscapes under sustainable land management in production systems

Ha (expected at PIF)	Description of Management Practices at PIF	Ha (expected at CEO ER)	Description of Management Practices at CEO ER	Ha (achieved at MTR)	Description of Management Practices at MTR	Ha (achieved at TE)	Description of Management Practices at TE
		3000	Soil Conservation	2000	Soil conservation		

4.4 Area of High Conservation Value forest loss avoided

Total Ha (expected at PIF)	Total Ha (expected at CEO ER)	Total Ha (achieved at MTR)	Total Ha (achieved at TE)
	N/A		

Figure at a given stage must be the sum of all individual PAs reported in the next table, for that stage. Prepare and upload file that justifies the HCVF.

Name of HCVF	Ha (expected at PIF)	Counterfactual at PIF	Ha (expected at CEO ER)	Counterfactual at CEO ER	Ha (achieved at MTR)	Ha (achieved at TE)

5. CORE INDICATOR 5: AREA OF MARINE HABITAT UNDER IMPROVED PRACTICES TO BENEFIT BIODIVERSITY (HECTARES; EXCLUDING PROTECTED AREAS)

Ha (expected at PIF)	Ha (expected at CEO ER)	Ha (achieved at MTR)	Ha (achieved at TE)
	N/A		

5.1 Number of fisheries that meet national or international third-party certification that incorporates biodiversity considerations

Number of fisheries (expected at PIF)	Number of fisheries (expected at CEO ER)	Number of fisheries (achieved at MTR)	Number of fisheries (achieved at TE)
	N/A		

Name of Fishery	Total Ha (expected at PIF)	Type of Certification at PIF	Total Ha (expected at CEO ER)	Type of Certification at CEO ER	Total Ha (achieved at MTR)	Type of Certification at MTR	Total Ha (achieved at TE)	Type of Certification at TE
	N/A							

5.2 Number of Large Marine Ecosystems with reduced pollution and hypoxia

Number of LMEs (expected at PIF)	Number of LMEs (expected at CEO ER)	Number of LMEs (achieved at MTR)	Number of LMEs (achieved at TE)
	N/A		

Name of LME	Type of Pollution (expected at PIF)	Extent of Pollution (expected at PIF)	Type of Pollution (expected at CEO ER)	Extent of Pollution (expected at CEO ER)	Type of Pollution (achieved at MTR)	Extent of Pollution (achieved at MTR)	Type of Pollution (achieved at TE)	Extent of Pollution (achieved at TE)
	N/A							

6. TOTAL AREA UNDER IMPROVED MANAGEMENT (IN PIF AND CEO ER TABLE F)

Million Ha (expected at PIF)	Million Ha (expected at CEO ER)
N/A	35,000

Calculate the total by summing Core Indicators 1-5. Ensure that there is no double-counting.

7. CORE INDICATOR 6: GREENHOUSE GAS EMISSIONS MITIGATED (METRIC TONS OF CARBON DIOXIDE EQUIVALENT)

GHG emission type	Metric tons CO ₂ -eq (expected at PIF)	Metric tons CO ₂ -eq (expected at CEO ER)	Metric tons CO ₂ -eq (expected at MTR)	Metric tons CO ₂ -eq (expected at TE)
Expected metric tons of CO ₂ -e (direct)		25 000	0	
Expected metric tons of CO ₂ -e (indirect)				

Figure at a given stage must be the sum of all figures reported under the first two sub-indicators (6.1 and 6.2) for that stage.

7.1 Carbon sequestered or emissions avoided in the sector of Agriculture, Forestry and Other Land Use

GHG emission type	Ha (expected at PIF)	Metric tons CO ₂ -eq (expected at PIF)	Ha (expected at CEO ER)	Metric tons CO ₂ -eq (expected at CEO ER)	Ha (expected at MTR)	Metric tons CO ₂ -eq (expected at MTR)	Ha (expected at TE)	Metric tons CO ₂ -eq (expected at TE)
Expected metric tons of CO ₂ -e (direct)								
Expected metric tons of CO ₂ -e (indirect)								
Anticipated year								
Duration of accounting								

7.2 Emissions avoided outside AFOLU (Agriculture, Forestry and Other Land Use)

GHG emission type	Metric tons CO ₂ -eq (expected at PIF)	Metric tons CO ₂ -eq (expected at CEO ER)	Metric tons CO ₂ -eq (expected at MTR)	Metric tons CO ₂ -eq (expected at TE)
Expected metric tons of CO ₂ -e (direct)	N/A			

Expected metric tons of CO₂-e (indirect)	N/A			
Anticipated year				
Duration of accounting				

7.3 Energy saved (megajoules)

Total MJ (expected at PIF)	Total MJ (expected at CEO ER)	Total MJ (achieved at MTR)	Total MJ (achieved at TE)
N/A			

Figure at a given stage must be the sum of all figures reported in the next table, for that stage.

Type of Intervention	MJ (expected at PIF)	MJ (expected at CEO ER)	MJ (achieved at MTR)	MJ (achieved at TE)
N/A				

Add rows as needed.

7.4 Increase in installed renewable energy capacity per technology (megawatts).

Type of Renewable Energy	Capacity (MW; expected at PIF)	Capacity (MW; expected at CEO ER)	Capacity (MW; achieved at MTR)	Capacity (MW; achieved at TE)
[biomass, geothermal, ocean, small hydro, solar photovoltaic, solar thermal, wind power, and storage]	N/A			

Add rows as needed.

8. CORE INDICATOR 7: NUMBER OF SHARED WATER ECOSYSTEMS (FRESH OR MARINE) UNDER NEW OR IMPROVED COOPERATIVE MANAGEMENT

Number (expected at PIF)	Number (expected at CEO ER)	Number (achieved at MTR)	Number (achieved at TE)
N/A	N/A	N/A	N/A

8.1 Level of Transboundary Diagnostic Analysis and Strategic Action Program formulation and implementation

Shared Water Ecosystem (name)	Rating (entered at PIF)	Rating (entered at CEO ER)	Rating (entered at MTR)	Rating (entered at TE)
<i>[note that this is not a open field in the Portal, but a restricted drop-down list]</i>	1 = No TDA/SAP developed 2 = TDA finalized 3 = SAP ministerially endorsed 4 = SAP under implementation			

8.2 Level of regional legal agreements and regional management institution(s) to support its implementation

Shared Water Ecosystem (name)	Rating (entered at PIF)	Rating (entered at CEO ER)	Rating (entered at MTR)	Rating (entered at TE)
<i>[note that this is not a open field in the Portal, but a restricted drop-down list]</i>	1 = No regional legal agreement, or neither institutional framework nor RMI in place 2 = Regional legal agreement under development 3 = Regional legal agreement signed and RMI in place 4 = Regional legal agreement ratified and RMI functional			

8.3 Level of national/local reforms and active participation of Inter-Ministerial Committees

Shared Water Ecosystem (name)	Rating (entered at PIF)	Rating (entered at CEO ER)	Rating (entered at MTR)	Rating (entered at TE)
<i>[note that this is not a open field in the Portal, but a restricted drop-down list]</i>	1 = Neither national/local reforms nor IMCs 2 = National/local reforms in preparation, IMCs functional 3 = National/local reforms and IMCs in place 4 = National/local reforms/policies implemented, supported by IMCs			

8.4 Level of engagement in IW:LEARN through participation and delivery of key products

Shared Water Ecosystem (name)	Rating (entered at PIF)	Rating (entered at CEO ER)	Rating (entered at MTR)	Rating (entered at TE)
<i>[note that this is not a open field in the Portal, but a restricted drop-down list]</i>	1 = No participation 2 = Website in line with IW:LEARN guidance active 3 = As above, plus strong participation in training/twinning events and production of at least one experience note and one results note 4 = As above, plus active participation of project staff and country representatives at International Waters conferences and the provision of spatial data and other data points via project website			

Add rows as needed, i.e. if more than one water ecosystem.

9. CORE INDICATOR 8: GLOBALLY OVER-EXPLOITED FISHERIES MOVED TO MORE SUSTAINABLE LEVELS (METRIC TONS)

Metric tons marine capture fisheries (expected at PIF)	Metric tons marine capture fisheries (expected at CEO ER)	Metric tons marine capture fisheries (achieved at MTR)	Metric tons marine capture fisheries (achieved at TE)
	N/A		

Fishery Details <i>(source for the estimate of tonnage, and the initial justification for considering the fishery to be overexploited)</i>

10. CORE INDICATOR 9: REDUCTION, DISPOSAL/DESTRUCTION, PHASE OUT, ELIMINATION AND AVOIDANCE OF CHEMICALS OF GLOBAL CONCERN AND THEIR WASTE IN THE ENVIRONMENT AND IN PROCESSES, MATERIALS, AND PRODUCTS (METRIC TONS OF TOXIC CHEMICALS REDUCED)

Total metric tons (expected at PIF)	Total metric tons (expected at CEO ER)	Total metric tons (achieved at MTR)	Total metric tons (achieved at TE)
N/A	N/A	N/A	N/A

Figure at a given stage must be the sum of all figures reported under the first three sub-indicators (9.1, 9.2 and 9.3) for that stage.

10.1 Solid and liquid Persistent Organic Pollutants (POPs) and POPs containing materials and products removed or disposed (POPs type)

POPs type	Metric tons (expected at PIF)	Metric tons (expected at CEO ER)	Metric tons (achieved at MTR)	Metric tons (achieved at TE)
[one chemical per row; note that this is not a open field in the Portal, but a restricted drop-down list]	N/A			

Add rows as needed.

10.2 Quantity of mercury reduced (metric tons)

Metric tons (expected at PIF)	Metric tons (expected at CEO ER)	Metric tons (achieved at MTR)	Metric tons (achieved at TE)
N/A			

10.3 Hydrochlorofluorocarbons reduced/phased out (metric tons)

Metric tons (expected at PIF)	Metric tons (expected at CEO ER)	Metric tons (achieved at MTR)	Metric tons (achieved at TE)
N/A			

10.4 Number of countries with legislation and policy implemented to control chemicals and waste (use this sub-indicator if one or more of 9.1, 9.2 and 9.3 are filled in)

Number (expected at PIF)	Number (expected at CEO ER)	Number (achieved at MTR)	Number (achieved at TE)
N/A	N/A	N/A	N/A

10.5 Number of low-chemical/non-chemical systems implemented, particularly in food production, manufacturing, and cities (use this sub-indicator if one or more of 9.1, 9.2 and 9.3 are filled in)

Number (expected at PIF)	Number (expected at CEO ER)	Number (achieved at MTR)	Number (achieved at TE)
N/A	N/A	N/A	N/A

10.6 Quantity of POPs/Mercury containing materials and products directly avoided

Metric tons (expected at PIF)	Metric tons (expected at CEO ER)	Metric tons (achieved at MTR)	Metric tons (achieved at TE)
N/A	N/A	N/A	N/A

NEW sub-indicator now appearing in the Portal, but missing from the GEF's Core Indicator worksheet and Results Architecture. Unclear how this is different from the headline Core Indicator 9.

11. CORE INDICATOR 10: REDUCTION, AVOIDANCE OF EMISSIONS OF POPS TO AIR FROM POINT AND NON-POINT SOURCES (GTEQ)

Grams of toxic equivalent (expected at PIF)	Grams of toxic equivalent (expected at CEO ER)	Grams of toxic equivalent (achieved at MTR)	Grams of toxic equivalent (achieved at TE)
N/A	N/A	N/A	N/A

11.1 Number of countries with legislation and policies implemented to control emissions of POPs to air

Number (expected at PIF)	Number (expected at CEO ER)	Number (achieved at MTR)	Number (achieved at TE)
N/A	N/A	N/A	N/A

11.2 Number of emission control technologies/practices implemented

Number (expected at PIF)	Number (expected at CEO ER)	Number (achieved at MTR)	Number (achieved at TE)
N/A	N/A	N/A	N/A

12. CORE INDICATOR 11: NUMBER OF DIRECT BENEFICIARIES DISAGGREGATED BY GENDER AS CO-BENEFIT OF GEF INVESTMENT

Total number (expected at PIF)	Total number (expected at CEO ER)	Total number (achieved at MTR)	Total number (achieved at TE)
	750 Community members	1,488	

Figure at a given stage must be the sum of female and male, as in the table below for that stage.

Gender	Number (expected at PIF)	Number (expected at CEO ER)	Number (achieved at MTR)	Number (achieved at TE)
Female		N/A	890	
Male		N/A	598	

This indicator is mandatory for all UNDP-GEF projects.

APPENDIX H - RESPONSES TO COMMENTS RECEIVED ON DRAFT MTR REPORT

To the comments received on 29 May and 3 June 2019 on the Mid-Term Review of Sri Lanka’s “SGP6 Project” (UNDP PIMS 5529), responses are provided in the following table by institution (“Author” column) and track change comment number (“#” column):

Author	#	Para #/ Comment location	Comment/Feedback on draft MTR report	MTR response and actions taken
Sureka Perera	1	Executive Summary, pg iv (under Project Description)	With regards to the statement “during Phases 4 and 5 of Sri Lanka’s SGP, a large proportion of grants were provided for biodiversity conservation projects, supporting the importance of Sri Lanka’s commitments to implement its international obligations on biodiversity that can be aided through local initiatives”, is this correct? I think its for RIO all 03 areas.	This is the information from the SGP Sri Lanka website, specifically the link: https://sgp.undp.org/index.php?option=com_docman&view=download&Itemid=453&alias=232-sgp-country-programme-strategy-62&category_slug=country-documents . If there is any other updated information, the Midterm Reviewer would be pleased to undertake further edits.
Diana Salvemini	2	Executive Summary, pg v (under Project Progress Summary) and pg vii (Table A)	With regards to Outcome 2 and the resetting of targets, please note that targets at the objective level cannot be modified without going back to council.	The Midterm Reviewer is aware of the restrictions in resetting of objective level targets. To clarify that these are not objective-level targets, edits have been made on both pg v and Table A referring to the “resetting of Outcome 2 targets”.
Diana Salvemini	3	Executive Summary, pg viii (under Recommendations)	<i>With regards to the recommendation of “request flexibility of UNDP Regional and GEF for any required extensions of SGP6 from its terminal date of 25 January 2021.....”, this recommendation should be more specific with regards to the timeframe. A request for one time extension can be granted by the UNDP-GEF Executive Coordinator, if there are sufficient funds to cover such extension. However, this should also be recommended by the Board and then approve by the RTA. As such, the MTR will need to be more specific in its recommendation.</i>	The comment is appreciated with requested details added to the recommendation in Para 87. Reference has also been made to the reasons for making this recommendation which was made after the tragic events in Sri Lanka of 21 April 2019 and the possibilities of any other unforeseen delays that may slow down the pace of SGP6.
Sureka Perera	4	Executive Summary, pg viii (under Recommendations)	<i>With regards to the recommendation of “request flexibility of UNDP Regional and GEF for any required extensions of SGP6 from its terminal date of 25 January 2021.....”, isn’t it too early to suggest an extension at this point?</i>	See response to Comment #3.
Diana Salvemini	5	Executive Summary, pg viii (under Recommendations)	With regards to the recommendation to correct Project design, we should avoid big changes to the logframe and cannot make changes at the Objective level without GEF (council) approval. If this is the case, and the original	See response to Comment #2.

Author	#	Para #/ Comment location	Comment/Feedback on draft MTR report	MTR response and actions taken
			<p>targets were not realistic, my advice is that we suggest for the targets to achieved within the timeframe of OP7, if additional funds are allocated by the govt. before they are agreed to in the management response.</p> <p>If the suggested modifications are not related to the objective level targets in ha, then please clarify this at front to avoid any misunderstanding</p>	
<i>Diana Salvemini</i>	6	Executive Summary, pg viii (under Recommendations)	With regards to the recommendation to “develop an SGP6 grant project database complete with fields with information on the grantee...”, what about the SGP database? This is not used? Was this consulted by the MTR consultant?	The Midterm Reviewer appreciates this comment and is now fully aware of the SGP database for the SGP 6 for Sri Lanka: https://sgp.undp.org/spacial-itemid-projects-landing-page/spacial-itemid-project-search-results.html?view=allprojects . However, the Midterm Reviewer was making a recommendation of a database that can efficiently generate customized progress reports for the CPMU. The SGP database link above does not appear to do this. Edits have been made in Paras 64-66 and 89 to strengthen this viewpoint. If there is already a means of generating progress reports from the aforementioned database link or if the CPMU has created their own database to generate these reports, the Midterm Reviewer will make further edits to this recommendation.
<i>Diana Salvemini</i>	7	Para 7	With regards to the bullet on “Project implementation and adaptive management”, can we have an assessment of the NSC? Is this working well? Have the members rotate? I believe a recommendation may be advisable here.	An NSC assessment is made on Paras 56 and 57.
<i>Sureka Perera</i>	8	Para 20	<p>Think better to explain the values addition of landscape approach in this project over past SGP cycles. This is the salient feature of the project strategy.</p> <p>We should give equal attention to land degradation and climate change too. Further the importance of providing income generation activities through management of natural resources to uplift their living condition while protecting the environment.</p>	Midterm Reviewer agrees with these comments and has made edits to Para 20.

Author	#	Para #/ Comment location	Comment/Feedback on draft MTR report	MTR response and actions taken
<i>Diana Salvemini</i>	9	Para 35	With regards to co-financing, is the overall co-financing in line with the expectations from the ProDoc? This is a key point that will require a recommendation moving forward	Assessment of co-financing to date has been made in Paras 55 and 61. Para 87 provides recommendations for the CPMU to follow up with regards to diversifying sources for co-financing to bring it in line with expectations from the ProDoc.
<i>Diana Salvemini</i>	10	Para 55	With regards to “more diversified sources of co-financing or potential financing need to be identified”, can we be more specific here? Also, can a recommendation be developed in this regard so a management response can be prepared by the team?	Edits have been made to Para 55 to refer to Paras 35 and 36. The requested specific recommendations were provided in Para 87.
<i>Diana Salvemini</i>	11	Para 56	With regards to the reference that SGP6 is “under a direct implementation modality (DIM) by UNDP and UNOPS”, this is not correct. The project is executed by UNOPS under the UN execution modality. This is not a DIM project.	The Midterm Review were appreciates this correction, and has made the appropriate edits in Para 56.
<i>Diana Salvemini</i>	12	Para 56	With regards to the reference to the NSC, what about the structure of the NSC? Is this in line with the SGP operational guidelines in terms of composition, rotation etc.?	Edits have been made in Paras 56 and 57 to provide an assessment of the NSC structure as it pertains to SGP operational guidelines.
<i>Diana Salvemini</i>	13	Para 66	With regards to the “lack of a database”, need reference to SGP database here as SGP Sri Lanka is part of the overall SGP, and there is a commitment to make use of this platform.	Please see response to Comment #6.
<i>Diana Salvemini</i>	14	Section 3.3.8	Any recommendation needed here to strengthen this aspect of the project?	None foreseen at this stage.
<i>Diana Salvemini</i>	15	Para 79	With regards to a “lack of an extensive network of financing sources for the scaling up of SGP6 projects”, please make sure there is an actionable recommendation in this regard	Please see Para 87 for this specific recommendation.
<i>Diana Salvemini</i>	16	Para 88	With regards to “proposed new targets for Outcome 2 without changing the <i>objective level</i> targets”, can we then clarify this at the beginning of the report as well to avoid any misunderstanding? edit this statement	Please see response to Comment #2.

APPENDIX I - EVALUATION CONSULTANT AGREEMENT FORM

Evaluator 1:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form³²

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Roland Wong

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Surrey, BC, Canada on 16 June 2019

³² www.unevaluation.org/unegcodeofconduct